

Set	Items	Description
S1	1258	AU=(SHAW D? OR SHAW, D? OR KOSOFSKY, D? OR KOSOFSKY D?)
S2	13224616	TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BUYING OR ORDER? OR TRADES OR TRADE
S3	8205042	SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL- () INSTRUMENT?
S4	427626	ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5	1126345	ALERT? OR FLAG? OR TRIGGER?
S6	10993680	DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIENT? OR INVESTOR? OR PARTICIPANT?
S7	610112	S2(2N)S3
S8	46891	S7(5N) (COMPUTER? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR ONLINE OR ON() LINE OR WEB? OR INTERNET? OR WWW)
S9	252	S8(20N)S5
S10	11695	S8(10N)S6
S11	33	S10(20N)S4
S12	179172	INSTITUTION? () INVESTOR?
S13	5426	BLOCK() TRADE? ?
S14	65	S8 AND S12 AND S13
S15	492	S8(S) (S12 OR S13)
S16	35	S15 AND S5
S17	3	S9(S) (BARGAIN? OR NEGOTIAT? OR HAGGL?)
S18	133	S11 OR S14 OR S16 OR S17
S19	92	S18 NOT PY>2000
S20	2	S1 AND S8
S21	86	S19 NOT PD=20000926:20040224
S22	88	S20 OR S21
S23	62	RD (unique items)

? show file

File 9:Business & Industry(R) Jul/1994-2004/Feb 23

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File 275:Gale Group Computer DB(TM) 1983-2004/Feb 24

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File 621:Gale Group New Prod. Annou. (R) 1985-2004/Feb 24

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File 636:Gale Group Newsletter DB(TM) 1987-2004/Feb 24

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File 625:American Banker Publications 1981-2004/Feb 24

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23/3,K/1 (Item 1 from file: 9)
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2923085 Supplier Number: 02923085 (USE FORMAT 7 OR 9 FOR FULLTEXT)
E-Trading Platforms Proliferate, But How Many Will Survive?
(The world has 68 existing electronic trading systems focusing on the fixed income market including 11 primary market auction systems)
The Bond Buyer, v 333, n 30980, p 1+
September 21, 2000
DOCUMENT TYPE: Newspaper; Survey; Industry Overview ISSN: 0732-0469 (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 1052

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...the survey said, have introduced or plan to introduce electronic transaction systems that will allow **dealers** to **anonymously** execute **transactions** in **securities** through proprietary **networks** .

Multi- **dealer** systems, or systems that provide customers with consolidated orders from two or more dealers as...

23/3,K/2 (Item 2 from file: 9)
DIALOG(R)File 9:Business & Industry(R)
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2845546 Supplier Number: 02845546 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Debit Cards Net 'Net Interest
(US ATM networks work toward allowing holders of debit cards to use them for online purchases; NYCE looks to its SafeDebit PIN-based debit card, which is inserted into the CD-ROM drive)
Card Technology, p 56+
June 2000
DOCUMENT TYPE: Journal; Industry Overview ISSN: 1093-1279 (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 3161

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...says the company also is close to an agreement with a stock brokerage clearinghouse. The **unidentified** clearinghouse would provide cards and readers to its member **brokerages** , which would distribute them to their customers to **trade** **stocks** over the **Internet** . Hughes anticipates 50,000 to 60,000 cards issued by June and 250,000 by...

23/3,K/3 (Item 3 from file: 9)
DIALOG(R)File 9:Business & Industry(R)
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2837220 Supplier Number: 02837220 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Market Axxess Throws Its Hat Into the Electronic Trading Ring
(Market Axxess will soon start operating a bond trading platform aimed at large- block trades ; MuniGroup.com has not begun operating)
The Bond Buyer, v 332, n 30921, p 1+

June 27, 2000

DOCUMENT TYPE: Newspaper; Industry Overview ISSN: 0732-0469 (United States)

LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 1013

(USE FORMAT 7 OR 9 FOR FULLTEXT)

(Market Axess will soon start operating a bond trading platform aimed at large- block trades ; MuniGroup.com has not begun operating)

TEXT:

By Darrell Preston

DALLAS

As **online bond - trading** platforms proliferate, it is becoming clear that the many services' drive to differentiate themselves means...

...Market Axess, which is scheduled to go live next month with a platform targeting **large- block trades** of a wide variety of fixed-income securities between and among broker-dealers and **institutional investors**, has announced that it will reveal the identities of all sellers and buyers on its...

...bringing a multi-dealer approach to providing price and inventory information along with research to **institutional investors**, according to Richard McVey, chief executive officer of Market Axess.

"In many cases what you...

23/3,K/4 (Item 4 from file: 9)

DIALOG(R)File 9:Business & Industry(R)

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2702261 Supplier Number: 02702261 (USE FORMAT 7 OR 9 FOR FULLTEXT)

TECHNOLOGY SHIFT: Online trading just beginning to appeal to big pension funds

(Balance of trading power will shift from financial institutions to their institutional investors because of the emergence of alternative trading systems)

Pensions & Investments, v 28, p 3

January 24, 2000

DOCUMENT TYPE: Journal ISSN: 1050-4974 (United States)

LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 1184

(USE FORMAT 7 OR 9 FOR FULLTEXT)

(Balance of trading power will shift from financial institutions to their institutional investors because of the emergence of alternative trading systems)

ABSTRACT:

A balance of trading power will shift from financial institutions to their **institutional investors** because of the emergence of alternative trading systems. The obstacles that are still holding back...

TEXT:

...trading systems will result in a transfer of trading power from financial institutions to the **institutional investors** they now serve.

But plenty of work needs to be done first, according to those...

...of fixed-income investments will be traded online within the decade.

"From this point forward, **institutional investors** will be the dominant force in determining how these platforms develop," according to a study...

...TradeWeb.

Now, with more investment staff on hand, he expects 50% of the system's **bond trades** to be **electronic**, depending on the liquidity of the marketplace.

While he is not a proponent of online...

...strategy information to trading.

But other managers are concerned with liquidity and are avoiding large **block trades** on web-based trading systems. "We don't have enough history with it (Tradeweb) to...the report predicts full price discovery, order matching capabilities and the ability to work with **institutional investors** will be the keys to success.

QV Trading, BondLink and IBX are the only systems...

...three capabilities, with eSpeed and GFinet pulling up the rear in planning the inclusion of **institutional investors**.

23/3,K/5 (Item 5 from file: 9)

DIALOG(R)File 9:Business & Industry(R)
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2551800 Supplier Number: 02551800 (USE FORMAT 7 OR 9 FOR FULLTEXT)
With the Click of a Mouse, MBIA Provides Insurance Over the Internet
(MBIA Insurance Corp to begin insuring bonds trading in the secondary
market over Trading Edge Inc's BondLink trading service under an
exclusive agreement)

The Bond Buyer, v 329, n 30703, p 44
August 12, 1999

DOCUMENT TYPE: Newspaper ISSN: 0732-0469 (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 371

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...Murray L. Finebaum, chairman and chief executive officer of Trading Edge, a fixed-income securities **broker**, created BondLink as an **anonymous**, secure, real-time service for **trading bonds** over the **Internet**. Before leading Trading Edge, Finebaum was president and CEO of Instinet Corp., an electronic brokerage...

23/3,K/6 (Item 6 from file: 9)

DIALOG(R)File 9:Business & Industry(R)
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2518842 Supplier Number: 02518842 (USE FORMAT 7 OR 9 FOR FULLTEXT)
GOING LIVE: PENSION FUNDS HAVE BEGUN UNTANGLING THE TRADING WEB; LOWER COST

AND SPEED ARE MAJOR ATTRACTIONS
(TradeWeb, electronic bond trading firm, signs up Kentucky Teachers'
Retirement System and California Public Employees Retirement System)
Pensions & Investments, p 4
July 12, 1999
DOCUMENT TYPE: Journal ISSN: 1050-4974 (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 905

(USE FORMAT 7 OR 9 FOR FULLTEXT)

ABSTRACT:

TradeWeb LLC (New York) is an **electronic bond trading** firm. The company has signed up two US pension funds, the Kentucky Teachers' Retirement System...

...biggest one was in the range of \$25 mil. TradeWeb currently has 250 buy side **institutional investors** on its network. The network manages between \$2.5 bil and \$3.5 bil in...

TEXT:

...through a dedicated phone line.

Instant information

He said the system also sends e-mail **alerts** when new information about a company in the fund's portfolio is posted.

Mr. Kane...

23/3,K/7 (Item 7 from file: 9)
DIALOG(R)File 9:Business & Industry(R)
(c) 2004 Resp. DB Svcs. All rts. reserv.

2209847 Supplier Number: 02209847 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Trading Systems: Cantor, CBOT Spar Over Proposed Futures Exchange
(Cantor Fitzgerald and New York Board of Trade will jointly offer
electronic Treasury futures exchange, Cantor Financial Futures Exchange,
pending approval)
The Bond Buyer, v 325, n 30450, p 34
August 05, 1998
DOCUMENT TYPE: Newspaper ISSN: 0732-0469 (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 937

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...LP's proprietary network, will match bids wanted with bids offered in a real-time, **anonymous** environment, said Cantor spokeswoman Debra Walton.

The system is already being used by a small group of **broker - dealers**, although further details were not yet available, Walton said.

Electronic secondary **trading** of municipal **bonds** has been viewed by many market **participants** as the next logical step in the technological evolution of the public finance industry. And...

23/3,K/8 (Item 1 from file: 15)
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02061534 57317290

Awards for Excellence: Eurozone

Lee, Peter

Euromoney n375 PP: 96-107 Jul 2000

ISSN: 0014-2433 JRNL CODE: ERM

WORD COUNT: 13797

...TEXT: Switzerland remains a powerful distinguishing strength and it has put itself at the forefront of **Internet** and **electronic bond trading** initiatives in Europe.

Citibank has long pursued a strategy of providing transaction services, cash management, custody, foreign exchange and lending to the largest corporations and **institutional investors** in each country in Europe. It operates in all the nine non-eurozone European countries...the Austrian privatization agency to dispose of 2 million shares of Austria Tabak in a **block trade**. CA IB also advised Yline, the first Austrian Internet stock to go public, on its...able to get away a follow-up offer in the form of a C170 million **block trade** executed over two days in February by one of Perlos's founding shareholders.

It has... Indosuez Cheuvreux and SG Global Equities, has been to meet the growing requirement of French **institutional investors** for coverage of nonFrench stocks.

SG Global Equities is highly rated for its execution capability...funding.

A large part of Citibank's business in the Netherlands is with the large **institutional investors** that make the country home to the fourth-largest pool of assets under management in...April 1999, had around 16,000 customers by end-March 2000. Around 47% of all **securities transactions** at Credit Suisse are executed **online**.

The Swiss franc debt markets are a two horse race and volumes are dominated by... is in the top three in equity research and this year executed the largest-ever **block trade** in the UK market, a joint-led placement of 925 million Vodafone shares. Morgan Grenfell...

23/3,K/9 (Item 2 from file: 15)
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02038397 55351604

The next leap in trading technology

Schack, Justin

Institutional Investor v34n6 PP: 49-56 Jun 2000

ISSN: 0020-3580 JRNL CODE: IL

WORD COUNT: 3221

...TEXT: number of different countries.

With the trading interest in any given stock spread so wide, **institutional investors** are having a much harder time getting their large orders executed at the best prices...trading operations. Kay, after sizing up the market, might decide, for example, to execute a **block trade** in pieces to avoid market-impact costs. "If I've got 500 to buy and...

... degree, computers and software are already working orders. "We can take in a large **block trade** and work it in a number of ways electronically," says David Pett, head of trading...

... addressing the problems presented by larger positions, fragmented liquidity and riskier trades?

To be sure, **institutional investors** have very different needs than retail customers. In addition to pure execution

...DESCRIPTORS: **Online securities trading ;**

23/3,K/10 (Item 3 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

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02011752 52582690

Showdown over market structure

Schack, Justin

Institutional Investor v34n4 PP: 63-71 Apr 2000

ISSN: 0020-3580 JRNL CODE: IL

WORD COUNT: 3287

...TEXT: the way are the biggest Wall Street houses, which argue that the rapid growth of **electronic stock trading** is creating disruption and fragmenting markets.

In February, encouraged by the Securities and Exchange Commission...

... so. "I don't know precisely what is the right national market system," he told **Institutional Investor**, "and I don't intend to impose that on anyone."

Were Levitt tempted, however, some...in both houses is the prospect of a CLOB that handles only retail orders, while **block trades** from big institutions continue to get special treatment from upstairs trading desks. Levitt, of course...

DESCRIPTORS: **Online securities trading ;**

23/3,K/11 (Item 4 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

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01978589 48176668

Trading meets the millennium

Carroll, Michael; Lux, Hal; Schack, Justin

Institutional Investor v34n1 PP: 36-53 Jan 2000

ISSN: 0020-3580 JRNL CODE: IL

WORD COUNT: 7697

...TEXT: dizzying new venture or alliance after another - with alternative trading systems, with each other, with **institutional investors** - that cut across traditional business lines and loyalties. The NYSE, Nasdaq, London Stock Exchange and...the envy of the world.

But there were problems. First, powerful market participants, such as **institutional investors**, were excluded - and shamelessly price-gouged.

And the interests of Nasdaq, the NYSE and various...

... the Internet - and the rise of on-line financial services. The \$9.95 trades of **on - line** brokers like Ameritrade, Datek **Securities** and E* **Trade Securities** threatened Wall Street's traditional retail brokerage business. These huge flows of customer orders gave...Rule 390 had to go. "When the NYSE announced it was going public," Levitt told **Institutional Investor** immediately after the speech, "everything went into play."

AS THE PREMIER PLAYER, THE NYSE CLEARLY...forward. In the meantime, he has appointed a committee of senior listed-company officials and **institutional investors** to study all aspects of demutualization.

But Grasso is shrewd and agile. Last fall he...no time constraints; "voluntary" CLOBs let dealers withhold some orders. Other variations make exceptions for **block trades**.

Predictably, different players prefer different systems. The big traditional firms would prefer a relatively hard...

23/3,K/12 (Item 5 from file: 15)

DIALOG(R) File 15:ABI/Inform(R)

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01767390 04-18381

The political economy of statutory reach: U.S. disclosure rules in a globalizing market for securities

Fox, Merritt B

Michigan Law Review v97n3 PP: 696-822 Dec 1998

ISSN: 0026-2234 JRNL CODE: MLW

WORD COUNT: 50681

...TEXT: in the value of disclosure. Voting power in U.S. issuers is less concentrated, and **institutional investors** in U.S. issuers are less inclined, separately or together, to exercise their voting power...

... are solicitations of public shareholders in proxy fights.¹³⁵ In contrast, in Germany and Japan, **institutional investors** play a larger role both in monitoring managerial behavior¹³⁶ and in supplying finance, mostly debt...

...for U.S. issuers would be higher than for German and Japanese ones. U.S. **institutional investors** monitor less carefully the way managers of U.S. issuers make both operating and project...Its Top Executive, N.Y. TIMES, Jan. 27, 1993, at A1. While increased pressure by **institutional investors** is an important factor in this shift, it appears to reflect as well an underlying...

... Roots OF AMERICAN CORPORATE FINANCE (1994); Bernard S. Black & John C. Coffee, Jr., Hail Britannia? **Institutional Investor** Behavior Under Limited Regulation, 92 MICH. L. REV. 1997 (1994).

131. See infra note 149...

... Takeover, N.Y. TIMES, Dec. 3, 1991, at D2; Mark R. Wingerson & Christopher H. Dorn, **Institutional Investors** in the U.S. and the Repeal of Poison Pills: A Practitioner's Perspective, 1992...

... L. REV. 57, 83 n.74 (1990); John C. Coffee, Jr., Liquidity Versus

Control: The **Institutional Investor** as Corporate Monitor, 91 COLUM. L. REV. 1277, 1299-300 (1991); Ronald J. Gilson, Corporate...was listed on or after April 26, 1979, or (2) a member is executing a **block trade** (10,000 or more shares or a market value of \$200,000 or more) as...Law and Economics

Footnote:

Working Paper, 1990); Therese H. Maynard, What is an "Exchange?" - Proprietary **Electronic Securities Trading** Systems and the Statutory Definition of an Exchange, 49 WASH. & LEE L. REV. 833, 862...

23/3,K/13 (Item 6 from file: 15)

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01750212 04-01203

Restructuring institutional block trading: An overview of the OptiMark system

Clemons, Eric K; Weber, Bruce W

Journal of Management Information Systems: JMIS v15n2 PP: 41-60 Fall 1998

ISSN: 0742-1222 JRNL CODE: JMI

WORD COUNT: 7883

...ABSTRACT: more sophisticated trading techniques, such as program trading and index arbitrage. Despite improvements, some large **institutional investors** identify shortcomings in today's markets that make the process of buying or selling large...

...TEXT: more sophisticated trading techniques, such as program trading and index arbitrage. Despite improvements, some large **institutional investors** identify shortcomings in today's markets that make the process of buying or selling large...

... attractive returns and greater future wealth. Despite the operational improvements from market technology, many large **institutional investors** (e.g., mutual fund and pension fund managers) are increasingly critical of today's stock...

... from those in use in established stock exchanges. Despite competition and the changing needs of **institutional investors**, existing exchanges have made few attempts to develop truly innovative trading systems, such as OptiMark.

Exchange Shortcomings and the Need for OptiMark

Trading Costs for **Institutional Investors**

The growing institutionalization of the market has concentrated growing quantities of assets in a small number... is greater risk from price movement before the firm has "unwound" its position, but the **block trader** may be able to earn an eighth (12.5 cents) or more per share. Observers...

...portion of their overall trading intentions.

Today's market conditions impose costs and constraints on **institutional investors**. A study by the Plexus Group of over 50,000 institutional orders indicates that a...

... participants believe that better alternatives for handling large institutional-size trading orders are needed. Among **institutional investors** there is concern that the exchange's market structures are limited and self-serving. The...a substantial discount to recent prices.

Contact a dealer on a block trading desk: An **institutional investor** can seek a bid or offering for the full quantity from a block trading desk...be able to offer it as part of their services to nonmember customers, such as **institutional investors** and other nonmember broker-dealers. OptiMark chose to link to PCX and ITS and hopes...of Management Information Systems, 13, 2 (Fall 1996), 59-75.

3. Clemons, E.K., and **Weber**, B.W. Alternative **securities trading** systems: tests and regulatory implications of the adoption of technology. Information Systems Research, 7, 2... Auctions and bidding. Journal of Economic Literature, 25 (1987), 699-738.

8. Newman, K. Building **block trades**. Traders Magazine (October 1995), 18-20.

9. Schwartz, R.A., and Weber, B.W. Next...

23/3,K/14 (Item 7 from file: 15)
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01581721 02-32710

Bond pricing veil may be lifted

Anand, Vineeta

Pensions & Investments v26n4 PP: 2, 62 Feb 23, 1998

ISSN: 1050-4974 JRNL CODE: PNI

ABSTRACT: An **electronic bond trading** system's financial woes could **trigger** a congressional inquiry into the need for investors to receive better information about corporate bond...

... his service attempted to break the large bond dealers' lock on the market by giving **institutional investors** the ability to trade directly with each other. Because the bond dealers act as middlemen and claim profits on each trade, **institutional investors** might be able to obtain better prices by trading directly with each other. Rep. Edward...

23/3,K/15 (Item 8 from file: 15)
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01535805 01-86793

SEC loosens regulation of foreign broker-dealers

Gittleman, Charles S; Moran, Julia E; Don-Siemion, Eva

International Financial Law Review v16n10 PP: 11-14 Oct 1997

ISSN: 0262-6969 JRNL CODE: IFL

WORD COUNT: 3175

...TEXT: the US firm, to, first, engage in oral communications from outside the US with US **institutional investors**, where such communications take place outside the trading hours of the New York Stock Exchange...

...foreign securities; and, second, have inperson contacts during visits to

the US with major US **institutional investors** so long as the number of days on which such in-person contacts occur does...

... year and the foreign associated persons engaged in such in-person contacts do not accept **orders** to effect **securities transactions** while in the US.

Electronic quotation systems

The SEC also clarified the Release No. 34-27017 by stating that the...the SEC indicated, if the registered broker-dealer ignores indications of irregularity that should **alert** the registered broker-dealer to the likelihood that the foreign broker-dealer is taking advantage...

23/3,K/16 (Item 9 from file: 15)

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01382880 00-33867

A revolution in securities markets' structures?

Anonymous

Financial Market Trends (France) n65 PP: 15-37 Nov 1996

ISSN: 0378-651X JRNL CODE: FMT

WORD COUNT: 8224

...TEXT: trading systems. Against this backdrop, competition among securities trading systems has increased considerably. Second, major **institutional investors**, which manage an ever more global portfolio, are increasingly demanding a wider choice between different...

... briefly discussed in Section 5. Section 6 takes a closer look at the needs of **institutional investors** and their impact on market structure. Finally, a number of likely future structural developments are...In September 1994, the exchange introduced new rules to allow immediate and full execution of **block trades** at a guaranteed price derived from pricing on the central market. At the end of...

... including all the stocks of the CAC 40 index. Depending on the size of the **block**, **trade** publication may be delayed up until the next morning. In 1995, a new trading system...systems is restricted to brokerdealers, specialists and other market professional and in some cases to **institutional investors** but plans for systems giving access to retail investors have been brought forward. Also, if...

... to build. Second, PTSs have been constructed in order to respond to a demand from **institutional investors**. The PTSs are particularly attractive to investors who are sensitive to transaction costs and do... International notwithstanding, investment banks located in London remain major suppliers of immediate liquidity for large **block trades** in many important continental European stocks.3

More generally, it can be argued that unless...choice of location would to some extent depend on the regulatory framework in place.

VI. Institutional investors and their impact on market structure

It is a well established fact that an increasing share of funds are held and managed by **institutional investors**. Perhaps less well appreciated is that **institutional investors** play a key role in the ongoing changes in market structure.

Many of the changes discussed above, such as the emergence of PTSs, have evolved in response to demands from **institutional investors**. In this connection, a number of facts are worth keeping in mind. Funds managed by **institutional investors** have grown considerably both in absolute terms and as a percentage of savings in virtually all Member countries and **institutional investors** are increasingly holding foreign securities. **Institutional investors** are also becoming more confident and aware of their key role in capital markets, and they are more demanding of intermediaries and exchanges. Increasingly, **institutional investors** wish to be able to unbundle the services that they receive from exchanges and intermediaries. The larger **institutional investors** are doing more ... their portfolio has increased, in particular for foreign securities. With the large sums traded by **institutional investors**, it is not surprising that studies have shown that **institutional investors** value anonymity. They are increasingly trying to find a direct counterpart for a trade in...

... place and changes likely to come, it is essential to look at the behaviour of **institutional investors**. Two recent surveys have tried to gauge the opinion of **institutional investors** in the United States⁹ and Europe¹⁰ on a number of key issues. On the...

... the moment, proprietary trading systems are not widespread in Europe. However, the survey of European **institutional investors** showed that 69 per cent expected such systems to account for more than 10 per...

... could keep total execution costs down.

The growing influence, changing behaviour and new assertiveness of **institutional investors** may lead to disintermediation of financial intermediaries in the trading process. To some extent, intermediaries...

... being said, it should also be recalled that the larger intermediaries are themselves becoming major **institutional investors**.

VII. Issues for the future

Key issues for the future include whether traditional exchanges will...

... of proprietary trading systems and how to deal with cross-border expansion of trading systems.

Institutional investors search for ways to cut transaction costs will most likely spur a further expansion of...

... to rising pressures on regulated markets to allow direct access to their trading systems for **institutional investors**. However, as exchanges are traditionally owned by financial intermediaries, it is perhaps understandable that they... said, inspiration may be found in the way regulators are responding to the internationalisation of **securities** and derivatives **trading** which has resulted in a **network** of memorandums of understanding (MOU) among regulators. These MOUs usually recognise the principle that the...

23/3,K/17 (Item 10 from file: 15)

DIALOG(R) File 15:ABI/Inform(R)

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01231142 98-80537

Changes in the structure and dynamics of European securities markets

Benos, Alexandros; Crouhy, Michel

...TEXT: Terme International de France (MATIF), in 1986 were motivated by the need to attract foreign **institutional investors** by offering them suitable, highly liquid instruments and vehicles for hedging against interest rate and...

... to enhance their public images as part of their communication policies. In the meantime, foreign **institutional investors** started to diversify their portfolios and were eager to minimize the cost of portfolio rebalancing... to bargain with market makers, whereas automated auction markets are not so suitable for illiquid **stocks** and large **trades**.

Automated execution, however, is very effective for smaller orders. Most block trading has initially migrated to...the state. They still remain under the direct or indirect control of public (government-controlled) **institutions**. **Investors** can submit limit orders via intermediaries (the brokers) on an automated system. In Paris and...choose SEAQ International, which offers a more flexible and much less transparent procedure. In Paris, **block trades** are illegal unless they go through the system and are within the spread. Initially, they...

... be reported instantaneously; on SEAQ International, market makers must inform the market of a large **block trade** only the next day. Furthermore, on SEAQ International, market makers are not constrained to disclose...the excess transparency of an auction market without introducing dealers directly. Its heavy dependence on **block trades** and insider information for liquidity are weak points that can be remedied with stricter legislation...

... it becomes operational, the new Electronic Bourse Suisse (EBS) will be created, a fully integrated **electronic market trading all financial instruments**.

Overall, Switzerland has always been very much one market with several trading floors. Most major...

... orders. The dual system will offer transparency for small orders (individuals) and liquidity for large **institutional investors**. Today, trading on all Swiss floors is done by a call auction, which is continuous for blue chips and periodic for smaller **stocks**. **Transactions** made orally are confirmed **electronically** and diffused to all other marketplaces. There are no brokers, and associate members, usually banks... as above. If market makers wish to preserve anonymity-for example, in the case of **block trades** -they can pass an order to the Inter-Dealer Broker (IDB), who posts the order...by the natural liquidity offered by big U.K. pension funds and also by foreign **institutional investors**.¹⁴ Half of the turnover on the LSE is already in foreign stocks, and SEAQ...

...growing strong with the help of four contributing factors: *stamp duties on share deals in **institutional investors**' home markets that they can avoid on SEAQ International;¹⁵ *shortness of trading hours on...role as primary markets. With the EMU's elimination of currency risk, portfolio diversification for **institutional investors** and inter-European capital raising will be easier. These effects will be reinforced by the...in all European exchanges much earlier than we had imagined. ¹⁴. Compared with France, where **institutional investors** hold less than 20 percent of the market capitalization, investing institutions in the United Kingdom...

23/3,K/18 (Item 11 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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01183796 98-33191

A bump in the road imperils the flat-out growth in electronic trading of stocks

Wipperfurth, Heike
Global Finance v9n12 PP: 40-43 Dec 1995
ISSN: 0896-4181 JRNL CODE: GFI

...ABSTRACT: and sellers. About 70% of all the trades on Instinet are done by other NASDAQ **broker dealers**, who use the **electronic** system to buy and **sell NASDAQ stocks anonymously** at better prices than they display on the NASDAQ screen. Concerned that an electronic trading...

23/3,K/19 (Item 12 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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01103248 97-52642

Uncertainty, competition, and speculative finance in the eighties

Goldstein, Don
Journal of Economic Issues v29n3 PP: 719-746 Sep 1995
ISSN: 0021-3624 JRNL CODE: JEI
WORD COUNT: 10980

...TEXT: currents in the flow of funds. Here it is necessary to examine the rise of **institutional investors** -broadly identified by their pooling of individuals' investments into portfolios that are professionally managed.(5) Insurance companies were the largest of the **institutional investors** through the 1950s, but were overtaken in total assets by the mushrooming pension funds in...

...the search for alternatives to bank saving as inflation rose, as well as the new **electronic** technologies of **securities trading**. The mutual funds' first period of explosive growth was the stock market boom of the... another instance, the billion-dollar run that brought down Mutual Benefit Life Insurance in 1991, **triggered** by news of its massive real estate and buyout investment losses, created an obscure spillover...

23/3,K/20 (Item 13 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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00990367 96-39760

International bond issues

Anonymous
Euroweek n392 PP: 24-36 Mar 3, 1995
ISSN: 0952-7036 JRNL CODE: EUW
WORD COUNT: 13839

...TEXT: 5bp over Libor is both cheap to the secondary market and represents good value to **institutional investors**.

Closing trading levels on Thursday were 99.65 bid, 99.70 offered.

Market appraisal:

"...a...and is helped by the switching out of other currencies into DM.

It was a **block trade** in as much as it was taken off the MTN programme.
We had a couple...

...group.

Market appraisal:

"...done on the afternoon of our public holiday, it looks like a **block trade**. There are good placement opportunities in the three-year area but it does not offer...

... name and the banks will have trouble selling a triple-B asset into the retail **network**."

"... **selling** the **bonds** to us at 99.45 and buying them back from the market at 99.85...Confederation 2005 where Sfr10m to Sf20m has been traded daily. Although there were signs of **institutional investor** interest in the market, we expect this demand to increase in the near future.

The...

23/3,K/21 (Item 14 from file: 15)

DIALOG(R) File 15:ABI/Inform(R)

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00983007 96-32400

Justice Department requests Instinet documents on Nasdaq

Lux, Hal

Investment Dealers Digest v61n6 PP: 6 Feb 6, 1995

ISSN: 0021-0080 JRNL CODE: IDD

WORD COUNT: 406

...ABSTRACT: trading system because Nasdaq market makers are among its biggest customers. The government investigations were **triggered** by an academic study written by William Christie and Paul Schultz which found usual trading...

...TEXT: the charges. Nasdaq and its market makers have denied the charges.

The government investigations were **triggered** by an academic study written by William Christie of Vanderbilt University and Paul Schultz of...

...not been named as a defendant in those cases.

The Instinet trading system allows large **institutional investors** and broker-dealers to **anonymously** trade through a computerized system. Instinet also runs an after-hours Crossing **Network** that allows **users** to **buy** and **sell** **stocks** at closing prices posted on Nasdaq or other exchanges. Small individual investors do not have...

23/3,K/22 (Item 15 from file: 15)

DIALOG(R) File 15:ABI/Inform(R)

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00951688 96-01081

The rules of the game

Barron, Catherine; Higgins, Kieran
Global Investor n77 PP: 21-34 Nov 1994
ISSN: 0951-3604 JRNL CODE: GLI
WORD COUNT: 13467

...TEXT: York. Similarly, France has created a new block-trading system to make transactions easier for **institutional investors**. And Germany, Austria and Switzerland have established market surveillance authorities to provide the kind of...central depositories in other countries since private investors prefer to hold their securities themselves and **institutional investors** favour registered certificates with no coupons attached. However, the settlement of all securities on the...to trade French stocks with better conditions."

Another recent innovation was the creation of a **block - trade** market to facilitate the buying and selling of large blocks of trades at a pre...

...in handling domestic equities, and so compete on better terms with their rivals. In addition, **institutional investors** will be kept better informed about their transactions because of the greater degree of transparency... Holland's 25 biggest companies. Yet these companies are traded all over the world.

* Dutch **institutional investors** are relatively conservative in determining their allocation of portfolios between equity and bond products, let... their transactions rapidly and securely on SEGA's book-entry transfer system. Because of its **on - line** status, the settlement period for **securities transactions** can be shortened and reports sent to participants are minimized.

An updated version of Secom...countries consists of withholding tax. In Hungary withholding tax on interest is 20% and foreign **institutional investors** do not have to pay any tax on dividends. Warsaw levies a withholding tax of...

23/3,K/23 (Item 16 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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00788849 94-38241
The portfolio management and accounting supermarket
O Heney, Sheila
Wall Street & Technology v11n5 PP: 20-30 Oct 1993
ISSN: 1060-989X JRNL CODE: WSC
WORD COUNT: 3262

...TEXT: Sun workstations. Pricing starts at \$45,000.

CAMRA, from Securities Software & Consulting, is used by **institutional investors**. It runs on over 75 different operating platforms, including DOS LANs, OS/2 and Unix...at the weighted average effect on an investment account or portfolio of a single or **block trade** before trade execution.

PAR EX, an on-line, real-time investment management system from MIS... confirmed by the brokers.

The International Manager from Rescom lets portfolio managers analyze and execute **block trades**. It allows trading against specific models and/or economic sector mixes as defined by managers...

...for up to five mixes. A master trade blotter provides an overview of all outstanding **block trades**, and various detailed analysis reports are generated.

ADAPTING TO CHANGE. Because new investments are continually... batch transaction update; selective automatic income processing; automatic account master update; broker-portfolio reconciliation and **electronic order transmission**; block **orders** by **security**, percent of asset class or total portfolio and Investment Council Association of America and AIMR ...

23/3,K/24 (Item 17 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

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00684907 93-34128

Organisation and regulation of securities markets

Anonymous

Financial Market Trends (France) n54 PP: 13-66 Feb 1993

ISSN: 0378-651X JRNL CODE: FMT

WORD COUNT: 21099

...TEXT: process of securitisation of a widening range of financial assets, a steadily expanding influence of **institutional investors**, further internationalisation of securities trading and, especially, the explosion of business in derivative products. Closely...

...fixed commission rates;

-- Promoting further internationalisation of domestic markets both for investors and borrowers;

-- Promoting **automation** in various processes of **securities trading**;

-- Improving clearing and settlement systems, to secure efficiency and systemic stability of trading;

-- Modernising the... markets where an important and rising proportion of business activity, notably large-volume deals for **institutional investors**, moved away from stock exchanges to OTC markets on account of the availability of lower...

... a regime of freer capital flows and with advanced hedging and risk-structuring techniques, large **institutional investors** (mutual funds, pension funds and insurance companies) have come to diversify their portfolios internationally for...D. PROMOTING AUTOMATION

Recent years have also witnessed a significant acceleration in the process of **automation** and **computerisation** of **securities trading**. The availability of modern information technology has triggered a dramatic re-shaping of the whole...to investigate and prosecute insider trading.

As mentioned earlier, it is increasingly realised that the **automation** of **securities trading** provides a unique opportunity for tracing or detecting cases of insider trading at an early...after-hours electronic screen trading system, SYCOM (Sydney Computerised Overnight Market).

1990 Coverage of the **Stock Exchange Automated Trading System (SEATS)** was expanded to cover all traded equities. Computer-based surveillance techniques were introduced...Treasury Bills via Danish money market brokers

on the Stock Exchange.

An Interest System for **Block Trades** was introduced enabling the stockbroking companies to establish interest in all listed securities and to... major banks conclude market making agreements for debt securities issued by the state.

FRANCE

1986 **Computerised securities** quotation and **order** matching system--CAC (Cotation Assistee en Continu) modelled on the Toronto CATS system--starts its... case of public offering and obligations of persons possessing confidential information.

A system of complete **automation** of **stock** exchange **transactions** is already in operation as from autumn 1992. Most shares are now traded through the...

... for quotation, information dissemination, order routing and order execution, clearing and settlement;

-- concentration of all **securities transactions** in one **computerised** market system (integrating the hitherto large over-the-counter market with **trading** on the **stock** exchange);

-- linking through **computerisation** the regional stock exchanges with the Milano Stock Exchange so that all stock exchanges work... UCI whose securities are not intended for issue to the general public but rather for **institutional investors** .

1992 Law concerning the information to be published at the time of acquisition and disposal...stock exchange members, and preagreed operations undertaken directly by non-members.

Establishment of a new **electronic** system for **stock** -exchange **trading** of fixed-interest instruments.

New regulation of futures and options markets which grants them official... bank, while access to a recognised market may be obtained also by others, for example **institutional investors** and enterprises.

The provisions on clearing systems are only applicable to option and forward transactions...

...Swiss Bankers Association, to handle cross-border settlement and central depository needs of brokers and **institutional investors** .

3. Measures to improve regulation

1988 New Swiss insider trading law (insider trading becoming a...to form and develop gold and precious metal markets.

-- to further meet the needs for **institutional investors** in the markets, real estate investment trusts and mutual funds will be introduced into the...

23/3,K/25 (Item 18 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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00639533 92-54473

Specialist vs. Saitori: Market-Making in New York and Tokyo

Lindsey, Richard R.; Schaede, Ulrike

Financial Analysts Journal v48n4 PP: 48-57 Jul/Aug 1992

ISSN: 0015-198X JRNL CODE: FIA

WORD COUNT: 6805

...TEXT: presumed benefits of floor trading (market feeling and interaction) with the reliability and speed of **computerized order**-processing. **Stock** exchange members can transmit orders of up to three round lots (usually 3000 shares) from...

... buy-and-hold strategy. Such strategies are designed to lead to closer ties between corporations. **Institutional investors** such as pension funds and life insurance companies engage in these strategies in order to ...

... the limit-order book is open, and the trend in the market can be observed, **institutional investors** tend to place limit orders. Most market orders are placed by individual investors.

The Standard... market, avoiding dealing when customer execution is possible, and maintaining a stable market after a **block trade**. If a specialist fails to receive a minimum score based on the questionnaire, the exchange... law, a securities firm is limited to trading either as a broker (for individual or **institutional investors**) or on its own account. Market-making must therefore arise out of judicious use of...seems that it is the "smaller investors who benefit (and, of course, pay), because negotiated **block trades** represent about 50% of total volume, and specialists take only limited positions.

The differences in...

... traders and analysts. Price limits and "sentiment prices" in Japan, for example, mean that large **block trades** can take time and have significant price impact, factors relevant for institutions trading in both ...

23/3,K/26 (Item 1 from file: 16)

DIALOG(R)File 16:Gale Group PROMT(R)

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08119791 Supplier Number: 67683512 (USE FORMAT 7 FOR FULLTEXT)

Bayer sets out policy for e-business. (Company Business and Marketing)

Shaw, David

European Rubber Journal, v182, n10, p24

Oct, 2000

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Trade

Word Count: 1843

Shaw, David

... these web portals. This will allow Bayer to provide up-to-the-minute data on **orders**, deliveries and **stock** levels live over the **web**, whenever customers want that data.

Ultimately, the key customers will be able to access almost...

23/3,K/27 (Item 2 from file: 16)

DIALOG(R)File 16:Gale Group PROMT(R)

(c) 2004 The Gale Group. All rts. reserv.

07064838 Supplier Number: 59043443 (USE FORMAT 7 FOR FULLTEXT)
TECHNOLOGY SHIFT: Online trading just beginning to appeal to big pension funds.

Barreto, Susan
Pensions & Investments, v28, p3
Jan 24, 2000
Language: English Record Type: Fulltext
Document Type: Magazine/Journal; Trade
Word Count: 1184

(USE FORMAT 7 FOR FULLTEXT)

TEXT:

...trading systems will result in a transfer of trading power from financial institutions to the **institutional investors** they now serve. ... of fixed-income investments will be traded online within the decade.

"From this point forward, **institutional investors** will be the dominant force in determining how these platforms develop," according to a study...

...TradeWeb.

Now, with more investment staff on hand, he expects 50% of the system's **bond trades** to be **electronic**, depending on the liquidity of the marketplace.

While he is not a proponent of online...

...strategy information to trading.

But other managers are concerned with liquidity and are avoiding large **block trades** on web-based trading systems. "We don't have enough history with it (Tradeweb) to...the report predicts full price discovery, order matching capabilities and the ability to work with **institutional investors** will be the keys to success.

QV Trading, BondLink and IBX are the only systems...

...three capabilities, with eSpeed and GFInet pulling up the rear in planning the inclusion of **institutional investors**.

23/3,K/28 (Item 3 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
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06796069 Supplier Number: 57466907 (USE FORMAT 7 FOR FULLTEXT)
Bond Market Association Survey Finds 39 Electronic Trading Systems Serving Institutional Fixed-Income Market; 50 Percent Increase From One Year Ago.
PR Newswire, p1161
Nov 10, 1999
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 737

... of interdealer brokers have introduced or plan to introduce electronic transaction systems that will allow **dealers anonymously** to execute **transactions** in **securities** through proprietary **networks**. Most of these systems are targeting the U.S. Treasury securities market, but can be...

23/3,K/29 (Item 4 from file: 16)

DIALOG(R)File 16:Gale Group PROMT(R)
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06762301 Supplier Number: 56951229 (USE FORMAT 7 FOR FULLTEXT)
**ExperTelligence, Inc. Subsidiary Announces Partnership with Island ECN
3DStockCharts.com Provides Live 3D Charts of Island Streaming Limit Order
Book.**

PR Newswire, p0311
Oct 27, 1999
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 672

... ECN, Inc. is an electronic order-matching system that gives
brokerage firms the power to **electronically** display and match **1stock
orders** for retail and **institutional investors**. Brokerage firms
leverage Island's speed, reliability and efficiency for the ultimate
benefit of the...

...in the development and hosting of Web/Database and Electronic Commerce
application solutions using its **flagship** products WebBase and ExperForms.
ExperTelligence, Inc. 25 E. Ortega Street Santa Barbara, CA 93101.
Tel...

23/3,K/30 (Item 5 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
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06655965 Supplier Number: 55832777 (USE FORMAT 7 FOR FULLTEXT)
**VERSUS Technologies Inc. Launches LYNXX(TM), Its Electronic Intra-Day
Crossing Service for Canadian Equity Trading.**

PR Newswire, p1581
Sept 23, 1999
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 547

... at closing market pricing will improve market acceptance and
overall match rates.'

Buy and sell **block trade** orders of 10,000 shares or more can be
submitted to LYNXX by institutional and...

...together with its wholly-owned subsidiary VERSUS Brokerage Services
Inc., is a leading provider of **electronic securities trading** services
to the Canadian marketplace. VERSUS develops, distributes and provides
access to **electronic securities trading** services and related products
for both retail and **institutional investors** through its electronic
trading network.

VERSUS' retail business is marketed exclusively in Canada under the
...

23/3,K/31 (Item 6 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
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06588456 Supplier Number: 55552852 (USE FORMAT 7 FOR FULLTEXT)
**i/money Customers To Link Directly Through To E-Trade Canada In Online
Strategic Alliance.**

Business Wire, p0122
August 25, 1999
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 716

... have accounts with E-TRADE Canada will be able to move seamlessly from receiving an **alert**, reviewing their portfolio, and making stock or mutual fund decisions, to placing an order with...

...together with its wholly-owned subsidiary VERSUS Brokerage Services Inc., is a leading provider of **electronic securities trading** services to the Canadian marketplace. VERSUS develops, distributes and provides access to **electronic securities trading** services and related products for both retail and **institutional investors** through its electronic trading network.

VERSUS' retail business is marketed exclusively in Canada under the

...

23/3,K/32 (Item 7 from file: 16)
DIALOG(R) File 16:Gale Group PROMT(R)
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06270368 Supplier Number: 54381726 (USE FORMAT 7 FOR FULLTEXT)
Trading Edge Launches New BondLink Service.
Business Wire, p0047
April 15, 1999
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 403

Premiere **Internet** Solution for **Trading High Yield Bond**
Goes Live **Online** Today With More Than 250 Institutional
Investors Prepared to Trade

Trading Edge, Inc., a fixed-income securities broker, today announced the launch of BondLink, the first **anonymous**, secure, real-time service for trading high yield bonds over the Internet.

BondLink is a...

23/3,K/33 (Item 8 from file: 16)
DIALOG(R) File 16:Gale Group PROMT(R)
(c) 2004 The Gale Group. All rts. reserv.

06227330 Supplier Number: 54244509 (USE FORMAT 7 FOR FULLTEXT)
Trading Edge Installs 200th Seat On New Bondlink Service; The Countdown Continues for Live High Yield Bond Trading on April 15th.
Business Wire, p0048
March 30, 1999
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 356

(USE FORMAT 7 FOR FULLTEXT)

TEXT:

...broker, today announced the company has installed its 200th seat on BondLink(TM), the first **anonymous**, secure, real-time service for **trading** high yield **bonds** via the **Internet**. Trading Edge anticipates approaching 300 installed **users** by April 15th, the day it launches the

BondLink service.

23/3,K/34 (Item 9 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
(c) 2004 The Gale Group. All rts. reserv.

06191031 Supplier Number: 54096066 (USE FORMAT 7 FOR FULLTEXT)
**VERSUS Technologies Inc., Parent Company of E*TRADE Canada, Completes
Initial Public Offering of Common Shares.**
PR Newswire, p4965
March 15, 1999
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 1094

... together with its wholly-owned subsidiary, VERSUS Brokerage Services Inc., is a leading provider of **electronic securities trading** services to the Canadian marketplace. The Company develops, distributes and provides access to **electronic securities trading** services and related products for both retail and **institutional investors** through its electronic trading network.

"We selected VERSUS as our Canadian partner largely because of...

...products and services that can be personalized, including portfolio tracking, real-time stock quotes, Smart **Alerts**, market commentary and analysis, news, investor community areas and other information services. E*TRADE was...

23/3,K/35 (Item 10 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
(c) 2004 The Gale Group. All rts. reserv.

06145835 Supplier Number: 53924345 (USE FORMAT 7 FOR FULLTEXT)
**Digex Selected by Standard & Poor's to Provide Web Hosting Solutions;
LIMITrader Securities, Inc. Also Realizes Benefits of Digex Financial
Solutions Group.**
Business Wire, p1257
Feb 23, 1999
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 887

... test next month, will deliver the first electronic trading transaction environment for corporate bonds where **investors** meet **anonymously** and negotiate online. The LIMITrader system fully **automates** the **bond trading** process, matching buyers and sellers based on their preset criteria and notifying them of interested...

23/3,K/36 (Item 1 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
(c)2004 The Gale Group. All rts. reserv.

12600073 SUPPLIER NUMBER: 65342201 (USE FORMAT 7 OR 9 FOR FULL TEXT)
E-Trading Platforms Proliferate, But How Many Will Survive?
Carpenter-Kasprzak, Sheri
Bond Buyer, 333, 30980, 1
Sept 21, 2000

ISSN: 0732-0469 LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 1110 LINE COUNT: 00093

... the survey said, have introduced or plan to introduce electronic transaction systems that will allow **dealers** to **anonymously** execute **transactions** in **securities** through proprietary **networks** .

Multi- **dealer** systems, or systems that provide customers with consolidated orders from two or more dealers as...

23/3,K/37 (Item 2 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
(c)2004 The Gale Group. All rts. reserv.

12270375 SUPPLIER NUMBER: 62985694 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Market Axess Throws Its Hat Into the Electronic Trading Ring.
Preston, Darrell
Bond Buyer, 332, 30921, 1
June 27, 2000
ISSN: 0732-0469 LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 1122 LINE COUNT: 00090

TEXT:

As **online bond - trading** platforms proliferate, it is becoming clear that the many services' drive to differentiate themselves means...

...Market Axess, which is scheduled to go live next month with a platform targeting large- **block trades** of a wide variety of fixed-income securities between and among broker-dealers and **institutional investors** , has announced that it will reveal the identities of all sellers and buyers on its...

...bringing a multi-dealer approach to providing price and inventory information along with research to **institutional investors** , according to Richard McVey, chief executive officer of Market Axess. "In many cases what you...

(...DESCRIPTORS: **Electronic trading (Securities)--**

23/3,K/38 (Item 3 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
(c)2004 The Gale Group. All rts. reserv.

12208457 SUPPLIER NUMBER: 62499882 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Another Heavyweight Enters the Online Muni Ring. (Brief Article)
Stanton, Michael
Bond Buyer, 332, 30905, 29
June 5, 2000
DOCUMENT TYPE: Brief Article ISSN: 0732-0469 LANGUAGE: English
RECORD TYPE: Fulltext
WORD COUNT: 1108 LINE COUNT: 00089

TEXT:

...marketplace and bringing still more players. TheMuniCenter is obviously not alone in the field of **online municipal bond trading** . In recent months, the market has faced an onslaught of announcements of new online-trading...

...revolutionary difference in the market from a price transparency

standpoint by giving broker-dealers and **institutional investors** the ability to instantly spot pricing disparities between different trading desks. But a little revolution...

...desks, an idea Thomas Vales, TheMuniCenter's chief executive, says he would consider pursuing. The **online bond - trading** landscape is changing every day. Look for more headlines. IRS REACTIONS PERCOLATE A recent column...

...as if the tobacco deals came to market under cover of darkness. It could have **alerted** the market to its interest in the field before the deals closed. In a similar...

23/3,K/39 (Item 4 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB
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11916812 SUPPLIER NUMBER: 59871110 (USE FORMAT 7 OR 9 FOR FULL TEXT)
The ECN Dilemma : Blasting fragmentation, Wall Street calls for a centralized market structure that threatens the upstarts.(complaints of unfair competition)

Celarier, Ian Springsteel & Michelle
Investment Dealers' Digest, ITEM00068009
March 6, 2000

ISSN: 0021-0080 LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 3930 LINE COUNT: 00307

... a year-long period of informal discussions with full-service institutions, ECNs, issuers, discount brokers, **institutional investors** and others by SEC Chairman Arthur Levitt and the commission staff. The SEC released its...is owned by multiple partners, including Merrill Lynch, Instinet, Goldman Sachs, J.P. Morgan, and **Institutional Investor** American Century Companies, among others. In addition to founder Spear, Leeds, other investors in RediBook...s because the big Wall Street firms want an exception to the CLOB for large **block trades**, given their ability to move the market. Indeed, Merrill Lynch's Komansky, in his written testimony for the hearing, supported the exemption for **block trades**, noting that "size trumps time." Allowing brokers to hold back those trades, he said, would...

...DESCRIPTORS: **Electronic trading (Securities)--**

23/3,K/40 (Item 5 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB
(c)2004 The Gale Group. All rts. reserv.

11275706 SUPPLIER NUMBER: 55431283 (USE FORMAT 7 OR 9 FOR FULL TEXT)
With the Click of a Mouse, MBIA Provides Insurance Over the Internet.(Brief Article)

Heaton, Kenneth
Bond Buyer, 329, 30703, 44
August 12, 1999

DOCUMENT TYPE: Brief Article ISSN: 0732-0469 LANGUAGE: English
RECORD TYPE: Fulltext
WORD COUNT: 408 LINE COUNT: 00035

... Murray L. Finebaum, chairman and chief executive officer of Trading Edge, a fixed-income securities **broker**, created BondLink as an **anonymous**

, secure, real-time service for **trading bonds** over the **Internet** .
Before leading Trading Edge, Finebaum was president and CEO of Instinet Corp., an electronic brokerage...

23/3,K/41 (Item 6 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB
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10366889 SUPPLIER NUMBER: 20993576 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Trading Systems: Cantor, CBOT Spar Over Proposed Futures Exchange.
Whalen, Robert
Bond Buyer, v324, n155, p34(1)
August 5, 1998
ISSN: 0732-0469 LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 989 LINE COUNT: 00082

... LP's proprietary network, will match bids wanted with bids offered in a real-time, **anonymous** environment, said Cantor spokeswoman Debra Walton.

The system is already being used by a small group of **broker - dealers**, although further details were not yet available, Walton said.

Electronic secondary **trading** of municipal **bonds** has been viewed by many market **participants** as the next logical step in the technological evolution of the public finance industry. And...

23/3,K/42 (Item 7 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB
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09293150 SUPPLIER NUMBER: 19033712 (USE FORMAT 7 OR 9 FOR FULL TEXT)
The offering and distribution of securities in cyberspace: a review of regulatory and industry initiatives.(Blue Sky Survey)
Gavis, Alexander C.
Business Lawyer, 52, n1, 317-378
Nov, 1996
ISSN: 0007-6899 LANGUAGE: English RECORD TYPE: Fulltext; Abstract
WORD COUNT: 33460 LINE COUNT: 02746

... domestic and foreign broker-dealers and their institutional clients. The system provided broker-dealers and **institutional investors** with a means of **electronically** communicating from the time a **securities order** was executed to the time the trade was settled.

The requesting letter sought two specific...This involves converting the document into ASCII(134) text and inserting special "marker tags," which **flag** key format and content information for EDGAR processing. The filing is then transmitted by tape...We read postings off various services. Those that sound too good to

be true are **flagged** . We then check registration of the seller and the

securities. There is a national computer...Maryland School of Law). (167.) See Ask The Analyst About Electronic Communications, NASD REGULATORY & COMPLIANCE **ALERT** , Apr. 1996, at 4-6. (168.) Id. at 4. Therefore, under the Conduct Rules, a...

23/3,K/43 (Item 8 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB
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07911741 SUPPLIER NUMBER: 16954621 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Another unspecial study: the SEC's 'Market 2000' report and competitive developments in the United States capital markets. (Symposium on the Regulation of Capital Markets)

Seligman, Joel

Business Lawyer, 50, n2, 485-526

Feb, 1995

ISSN: 0007-6899

LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 20035 LINE COUNT: 01605

... trends that it believes will continue to influence the evolution of equity market regulation: (i) "**institutional investors** will continue to account for a majority of trading volume,"(18) (ii) "global trading will...

...this concern.

CHANGES IN THE INVESTOR COMMUNITY

By now it is a commonplace understanding that **institutional investors** (most notably, public and private pension plans, mutual funds and other investment companies, bank trust...commission rates in 1975 significantly furthered an earlier process of reducing the transaction costs of **institutional investor** equity trades.(26) The Brady Report estimated that between April 1975, just before the unfixing...

...securities. It was understood, even before enactment of the Securities Act of 1933,(30) that **institutional investors** did not need the mandatory disclosure system of that Act to protect themselves when acquiring...

...be assembled by analyzing the markets in terms of commission rates and soft dollars for **block trades**, small orders, and intermediate-sized orders, however the last two categories are defined.

Similarly, while...

...and new fourth markets and proprietary trading systems - alternative trading systems largely of value to **institutional investors** - relatively little discussion has been published of how small investors might, in the future, use...from desk-top terminals.(58) Other computer information systems such as Autex and Instinet permit **institutional investors** to communicate directly (off the exchange floor) their interest in buying or selling blocks of...390) because this might upset a regulatory structure designed to accommodate both smaller "retail" and **institutional investors**. Instead, the report sought a pragmatic middle ground.(76) As the Division wrote:

The Division...is slightly less than the amount of third market trading at the time of the **Institutional Investor** Study. The data for the first six months of 1993 reveals that the OTC market...institutions and broker-dealers. The sponsors of PTSs designed them to fulfill the needs of **institutional investors** not satisfied by traditional markets. Although use of these systems is growing, their market share...II, at II-15 to II-16. (21.) Id. at 32. (22.) The increase in **institutional investor** ownership has been slow but steady during the 60 year period after the enactment of...

...the New York Stock Exchange (NYSE) estimated the holdings of its listed stocks by selected **institutional investors** (insurance companies, investment companies, non-insured pension funds, foreign institutions, nonprofit institutions, common trust funds...

...55 (1985).

In November 1988, a study prepared for the Columbia University School of Law **Institutional Investor** Project, in consultation with the NYSE, updated data concerning institutional investment. Carolyn Kay Brancato & Patrick A. Gaughan, *The Growth of Institutional Investors in U.S. Capital Markets* (Nov. 1988). The study calculated that as of 1987, five categories of **institutional investors** held total assets of \$4644.4 billion, with pension funds holding \$2018.8 billion (or 43.5% of the total **institutional investor** assets); investment companies, \$790.4 billion (17%); insurance companies, \$1,011.2 billion (21.8...

...billion (14.9%); and foundations and endowments, \$130.6 billion (2.8%). As of 1986 **institutional investors** had equity holdings of \$1327.2 billion, or approximately 42.7% of total public trading on the NYSE. By 1990, the project estimated that all **institutional investors** accounted for 53.3% of public and private outstanding equity. Carolyn Kay Brancato & Patrick A. Gaughan, *Institutional Investors and Capital Markets* 8 (Sept. 1991) hereinafter Brancato & Gaughan, **Institutional Investors** |. Institutional equity holdings in the largest 100 corporations as of that date were slightly higher...

...Fact Book 56 (1985). Data, covering the period from May to December 1985, found that **institutional investors** accounted for 61.1% of NYSE publicly traded stock, with retail customers accounting for 38.9%. Brancato & Gaughan, *Institutional Investors*, supra note 22, at 15. **Institutional investor** participation rates are lower in other markets. The same study estimated that they accounted for...

...members. When proprietary trading is thrown into the scales, the percentage of trading by both **institutional investors** and other retail customers declines. For example, in October 1987, the Securities Industry Association estimated...is OTC trading of exchange-listed securities. Third market transactions include, for example, executions of **block trades** off an exchange and transactions executed by third market makers who are not members of...be a larger and more liquid fourth market-i.e., many large financial institutions and **institutional investors** trading with each other over electronic proprietary trading systems, which are not now regulated as national securities market system appeared in the transmittal letter accompanying the publication of its **Institutional Investor** Study in March 1971. Disclaiming any intent to mandate or describe in detail the future...

...is controlled not only by appropriate regulation but also by the forces of competition." SEC, **Institutional Investor** Report, H.R. Doc. No. 64, 92d Cong., 1st Sess. XXV (Aug. 11, 1971).

Five...18. The Division also proposed better display of SelectNet orders by which NASD members negotiate **securities transactions** through computer **automation**. Id. at 19-20. (126.) Id. at 27. The Report states: Section 31 of the...

...of PTSs primarily can be attributed to two factors. First, PTSs fulfill the needs of **institutional investors** not satisfied by the traditional markets. For example, some "matching systems" compliment the trading needs ...trading systems to accomplish this.

PTSs have combined technology and features that are attractive to **institutional investors** to gain an increasing share of volume in the past few years. For the first...2 Special Study, Supra note 2, at 302. (147.) Id. at 302-11. (148) 4 **Institutional Investor** Study Report of the SEC, H.R. Doc. No. 64, 92d Cong., 1st Sess. 2183...

23/3,K/44 (Item 9 from file: 148)
DIALOG(R) File 148:Gale Group Trade & Industry DB
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06754034 SUPPLIER NUMBER: 14547458 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Structural changes in trading stocks.
Madden, Bartley J.
Journal of Portfolio Management, v20, n1, p19(9)
Fall, 1993
ISSN: 0095-4918 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 5296 LINE COUNT: 00432

... traded small firms.

A government policy to remove the regulatory barriers blocking the advances of **electronic securities trading** would enable all types of investors to trade small company shares at very low cost...not be discriminated against for reasons of size. Almost always one side of a large **block trade** wants to buy (or sell) more shares than the other side, and many times smaller investors will view a **block trade** as occurring at a favorable price. Smaller investors should have the opportunity to fill, at the block price, the otherwise unmet needs of one side of the **block trade**.

3. Confidentiality of Large Orders. Large traders need an efficient means to probe the other...be a high-volume trade.

Second, prices established at electronic call auctions or from large **block trades** on the exchanges or on the proprietary systems are plainly much less frequent than the...

...each order whether the shares are "participatory." Participatory shares are eligible for inclusion in large **block trades** at prices close to the investors' limits.

For an individual stock, the exchange sets a...

...maximum amount a buyer could pay above the limit price to participate in a large **block trade**. Similarly, the differential reflects the maximum amount by which a seller would decrease the limit price in order to participate in a large **block trade**.

Often, traders on both the buy side and the sell side would be satisfied to...know the other exists.

Small traders are decidedly more willing to participate in a large **block trade** close to their limit prices in the warranted belief that large block prices are very...

...sample trade are presented in the appendix. It extends our example to show how a **block trade** eventually would be filled. Importantly, the "excess" or unfilled portion of one side of the **block trade** would be assembled out of smaller orders at the block price. These smaller investors would...

...participatory, and their price limits would have enabled them to be a part of the **block trade**. This structure therefore directly addresses the SEC's concern for integrating individual and institutional trades...

...specialists theoretically could minimize intermediation.

In practice, off-the-floor traders are motivated to assemble **block trades** independently of specialists. Block traders promote their skill at finding the other side and minimizing...

...participatory limit orders, these small investors would achieve more frequent trades within the spread where **block trades** often occur.

In summary, YLT could provide a new structure enabling the NYSE to better...

...volume of shares traded or trading hours, and allow participation by retail as well as **institutional investors**. Moreover, any assignment of regulatory costs to protect investors should reflect the degree of safety ...differential that sets the maximum (buy) and minimum (sell) prices is 1/4. A large **block trade** can now be assembled:

	Buying		Selling
Trader	Shares	Trader	Shares
G	100,000	I	85...

...giving a 30 1/4 maximum price, which is more than the 30 1/8 **block trade** price and therefore eligible for inclusion. A shares are not participatory. C shares have a...16,000. Hence, 16,000 additional shares are crossed as shown in the final executed **block trade** of 101,000 total shares. Note that only 1,000 of the eligible 7,000...

23/3,K/45 (Item 10 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB

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05589071 SUPPLIER NUMBER: 11710389 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Trading stock around the clock: the future growth of global electronic markets.

Freund, William C.

California Management Review, v34, n1, p87(16)

Fall, 1991

ISSN: 0008-1256

LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 7804

LINE COUNT: 00638

...ABSTRACT: being jeopardized by aggressive competitors. Someday, there will be around-the-clock, around-the-world **automated stock trading**. But the simple assumption that such trading lurks around the corner ignores a number of...

TEXT:

...the twentieth century. It accords with other breakthroughs in communications and the development of giant **institutional investors** which operate out of financial markets in New York, Tokyo, Frankfurt, Zurich, Amsterdam, Brussels, and...

... take over at the New York Stock Exchange (NYSE) and in other equity markets. Fully **electronic stock trading** is likely to evolve slowly, over a period of a decade or longer.

So far...

...execute prearranged cross trades at the official closing price. Buy and sell orders are matched **electronically**. Members are also allowed to **trade** "baskets" of **stocks** with a total market value of at least \$1 million at a session open from...

...formidable challenge.[5]

A Known Technology

If there is any doubt about the feasibility of **automating stock trading**, one need only look at markets for other financial instruments. In 1981, Reuters launched its...include an electronic order-matching system called "Instinet," owned by Reuters Holdings, and "Posit," an **automated**

system for **trading** baskets of **stocks** , owned by the Jeffries Group.[14] Reuters' Instinet subsidiary also provides The Crossing Network, designed ...

...of combining institutional and individual trading. Off-hours trading may lead to market fragmentation if **institutional investor** orders are allowed to be executed off-board in a variety of places and systems...this plan, see the final section of

this article. [10]Large orders are often termed **block trades** , which the NYSE defines as trades of 10,000 shares or more. [11]"The Wild, Wired World of Electronic Exchanges," **Institutional Investor** Magazine (September 1989), p. 93. [12]Mr. John Redwood, U.K. Corporate Affairs Minister, recently...

...for smaller investors and for trading smaller companies. The Financial Times, August 14, 1990. [13] **Institutional Investor** Magazine (July 1990), p. 190. London's international volume exceeds its trading in U.K...

...Chairman John Phelan once commented: "Technology and communication bring efficiency. Money is made in inefficiency." [**Institutional Investor** Magazine (September 1989), p. 92.] [16]That rule was approved by the SEC to avoid...

23/3,K/46 (Item 11 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB
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04165267 SUPPLIER NUMBER: 08792175 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Technology and performance: the evolution of market mechanisms..
Wright, David J.
Business Horizons, v32, n6, p65(5)
Nov-Dec, 1989
CODEN: BHORA ISSN: 0007-6813 LANGUAGE: ENGLISH RECORD TYPE:
FULLTEXT
WORD COUNT: 4219 LINE COUNT: 00339

... with their substantially larger transaction orders.

One benchmark of institutional activity is the number of **block trades** (defined as transactions of 10,000 shares or more), because **block trades** are primarily executed by institutions rather than individuals. In 1965, **block trades** made up only 3 percent of NYSE-reported share volume; currently, **block trades** make up the majority of the volume. Another indication of the growing institutional participation is...

...trading activities. As a result, increasing numbers of Americans are returning to the market as **institutional investors** themselves-mutual fund shareholders.

Legislative Pressures and the Specialist's Role

The growth in institutional...transactions, but the specialists do attempt to assure all customers a chance to participate in **block trades**

Specialists who might have viewed technology with distrust have been forced to accept automation as...with rival exchanges, the NYSE is considering trading stocks 24 hours per day. With advanced **order** -matching technology, **stocks** could be traded **electronically** during the hours the

exchange floor is closed. Furthermore, the overnight electronic market would likely...

...of a stock exchange ticker tape. The system has made OTC stocks more alluring to **institutional investors** because the trading information is accurate and timely As more institutions invested in OTC stocks...Political Economy, May-june 1973, pp. 637-659.

S. Hansell, "Preparing For Billion-Share Days," **Institutional Investor** , October 1988, pp. 191-193.

S. Hansell, "The Moving Target," **Institutional Investor** , January 1989, pp. 111-117.

R. Klemkosky and D. Wright, "The Changing Structure of the...

23/3,K/47 (Item 12 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB

(c)2004 The Gale Group. All rts. reserv.

03522673 SUPPLIER NUMBER: 06418326 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Chicago traders' unnatural pessimism. (the U.S. futures and options exchanges)

Evans, Garry

Euromoney, p107(4)

April, 1988

ISSN: 0014-2433

LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 3438 LINE COUNT: 00267

... came, the futures markets took much of the selling pressure because it could handle large **block trades** more cheaply and quickly than the stock market. Selling a \$120 million portfolio of stocks off the hook so easily. Portfolio insurance involves the **automatic buying of stocks** or futures as the market rises, and their sale as it falls. In retrospect, it...suffered especially badly. Increased margins and higher premiums on options have hit liquidity and many **institutional investors** have been put off by the critical media coverage.

In the wake of reduced liquidity...

23/3,K/48 (Item 1 from file: 275)

DIALOG(R)File 275:Gale Group Computer DB(TM)

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01582850 SUPPLIER NUMBER: 13357750 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Trading department support systems. (1993 edition) (Buyers Guide)

Wall Street & Technology, v10, n5, p53(11)

Jan, 1993

DOCUMENT TYPE: Buyers Guide

ISSN: 1060-989X

LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 12925 LINE COUNT: 01160

... Cambridge Technology, East Brunswick, NJ

SPAR

Any IBM PC/compatibles

A completely integrated and comprehensive **on - line** , real-time **trading /multicurrency securities** processing/trust accounting system for multiuser PC ...4329 See Advertisement Pages 6-7

CrossCom Fixed Income Trading Network, Inc.

CrossCom enables qualified **institutional investors** to trade directly and anonymously with other institutions and broker-dealers around the world. Corporate...messages that indicate interest in buying or selling

blocks of stock as well as advertise **block trades** .

ZAI NET Software, Inc., 747 3rd Ave., 34th Fl., New York, NY 10017;
Contact Debbie...

23/3,K/49 (Item 2 from file: 275)

DIALOG(R)File 275:Gale Group Computer DB(TM)

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01555813 SUPPLIER NUMBER: 12182318 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Portfolio accounting and back office systems. (special advertising directory) (Directory)

Wall Street & Technology, v9, n9, pP1(27)

May, 1992

DOCUMENT TYPE: Directory ISSN: 1060-989X LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 6939 LINE COUNT: 00629

... needs for the fixed income market. Features include:

- * cash management
- * fail management capabilities for both **securities** and cash
- * **trade** and settlement date based reporting
- * **automatic** P&I collections
- * complete MBS & MBS derivative back-office accounting support
- * multiple account and portfolio...Securities Management System

The Magnus Software Securities Management System has been developed to assist the **institutional investor** achieve the best overall return for debt and equity portfolios, including derivatives and foreign securities...UNIX/AIX (RS6000) environments to provide optimal growth flexibility.

Additional Modules to enhance your solution:

- * **Block Trader**
- * Auto G/L
- * Corporate Actions
- * Autoload
- * Pricing Interfaces
- * IQ Report Writer

Features:

- * A full unlimited...

23/3,K/50 (Item 3 from file: 275)

DIALOG(R)File 275:Gale Group Computer DB(TM)

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01467319 SUPPLIER NUMBER: 11723612 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Staying in the middle: ...brokers are fighting to keep their role in the market. (includes related article on crossing networks)

Schmerken, Ivy

Wall Street Computer Review, v9, n3, p18(6)

Dec, 1991

ISSN: 0738-4343 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 2863 LINE COUNT: 00230

ABSTRACT: Stock brokerage firms are giving **institutional investors** more control over the management of their transactions by providing direct access via in-office...

...are also providing crossing networks for passive index fund managers not in a rush to **trade** . **Securities** firms are connecting the crossing

networks to SuperDOT access, allowing institutions the ability to swiftly execute unmatched orders. Allowing direct access...

TEXT:

Institutional investors are gaining more control over managing their **stock transactions** as brokerage firms provide direct **electronic** access to automated small order execution systems like the New York Stock Exchange's SuperDOT...

... Calif. Wunsch Auction Systems's SPAworks, a computerized single price auction, is another way for **institutional investors** to bypass brokers and trade with each other.

To hold on to the order flow, broker/dealers are willing to provide **institutional investors** with powerful electronic execution facilities and analytics. Whether crossing networks are viable businesses that generate...

...Quant-Ex. The system allows quantitative money managers to write their own trading rules to **trigger** an execution via the NYSE's SuperDOT system and POSIT. As of October, Quant-Ex...

...the American Stock Exchange and NASDAQ. An institution linked to Match Plus can set an **alert** in case the order is not crossed by 3:00 p.m. and instruct the...wouldn't have the same control over the trading process as they might with a **block trade**, because the order may not get crossed, says John Colon, vice president of Greenwich Associates...the SuperDOT interface software, designed by the brokers, make it possible for institutions to set **alerts** for sending their order down to the floor and to pull their orders if they...

23/3,K/51 (Item 4 from file: 275)

DIALOG(R) File 275:Gale Group Computer DB(TM)

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01376813 SUPPLIER NUMBER: 09420455 (USE FORMAT 7 OR 9 FOR FULL TEXT)

The bulls and bears come out at night; electronic trading. (includes related article on off-floor business in Europe)

Schmerken, Ivy

Wall Street Computer Review, v7, n12, p14(9)

Sept, 1990

ISSN: 0738-4343

LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 6611 LINE COUNT: 00516

... SYSTEMS ARE CHALLENGING dominant role of leading stock exchanges in North America and Europe as institutional investors experiment with electronic ways of driving down transaction costs on the one and participate in...

...spread on the New York Stock Exchange (NYSE) floor.

The trend reflects the power of **institutional investors** -pension funds, investment managers, index funds and mutual funds-to invest in stocks based on...

...the floor.

Siphoning Off the NYSE

The Big Board also is losing its share of **trades** in listed **stocks** to **automated trading** systems, such as Instinet, a **computerized**, interactive, equity negotiating system, operated by Reuters Holdings PLC, the British information carrier. Volume has...

...that are members of the NYSE also have threatened to set up their own institutional **network** to **trade** NYSE-listed **stocks** off the NYSE floor.

Money Managers Get Tough

U.S. money managers say they are...he adds. Hence, some money managers use DOT for small tickets but avoid it for larger **block trades** in excess of 10,000 shares. "No one in his right mind would put an...to five cents a share.

Alternative methods for off-floor trading are being developed for **institutional investors** who do not need to pay a premium fee for immediacy.

Maverick Bests NYSE Spread...an off-floor trading arena. The NYSE is trying to meet these evolving requirements from **institutional investors** and upstairs dealers while at the same time being responsive to the vested interests of...with links to a common information system; London proposed a European Wholesale Market geared toward **institutional investors**, utilizing the SEAQ-I (Stock Exchange Automated Quotation International) operating in London as a model...

...K. and U.S. stocks, and is adding more markets in the future. The Crossing **Network**, its companion system for **trading** portfolios of **stocks**, is also **trading** foreign equities in the U.S. to tap the interest of domestic clients.

Instinet is...

23/3,K/52 (Item 5 from file: 275)

DIALOG(R)File 275:Gale Group Computer DB(TM)

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01320538 SUPPLIER NUMBER: 07931076 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Software. (1990 Buyer's Guide Issue) (buyers guide)

Wall Street Computer Review, v7, n2, p27(95)

Nov, 1989

DOCUMENT TYPE: buyers guide ISSN: 0738-4343 LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 56121 LINE COUNT: 04923

... 1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line**, real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...PC's & Novell Networks

Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional investors**.

Quotient Inc., 45 Broadway, New York, NY 10006 CMARK \$ On Request DEC VAX

Realtime positions...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line**, real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...PC's & Novell Networks

Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional investors**.

Shaw Data Services, Inc., 122 E. 42nd St., New York, NY 10168;
Contact Deborah A...80286 & 80386 microcomputers

PC-based real-time equity/equity options trade monitor. Alerts trader to **block trades** for all listed equities/equity options, and calculates the implied volatility for each option **block trade**.

Cohen, Davis & Marks, 2112 Broadway, New York, NY 10023 CDGM System \$ On Request IBM PC...

...80286 & 80386 Microcomputers

PC-based real-time equity/equity options trade monitor. Alerts trader to **block trades** for all listed equities/equity options, and calculates the implied volatility for each option **block trade**.

Emerging Market Technologies, 3781 Presidential Pkwy., Suite 10, Atlanta, GA 30341; Contact Jeffrey Multz; 404...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line**, real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...PC's & Novell Networks

Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional investors**.

Securities Software & Consulting, Inc., 705 Bloomfield Ave., Bloomfield, CT 06002 CAMRA Minicomputers, LANS

Provides fully...Page 81 Dimension 3000 Hewlett Packard

Encompasses GNMA, FNMA, FHLMC. Historical database containing 500,000 **securities**. **Automatic transaction** generation for paydowns, interest. Complete trading system. Comprehensive reports. Asset backed, CMOs by 12/89...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line**, real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...St., Wellesley, MA 02181 PMIS DEC VAX/VMS

Comprehensive multi-currency portfolio management system for **institutional investors** or custodians. Application includes securities database, portfolio accounting, performance measurement, analysis, asset allocation, inquiry, trading...

...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line**, real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...

...PC's & Novell Networks Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional investors**.

Security APL, 964 3rd Ave., 7th Fl., New York, NY 10022; Contact Jamie Waller; 212...basis.

Wisner Associates, Inc., 22134 Sherman Way, Canoga Park, CA 91303 Series 2 Prime

Provides **institutional investors** with securities accounting, portfolio management, operations and trading support for the full range of security...St., Wellesley, MA 02181 PMIS DEC VAX/VMS

Comprehensive multi-currency portfolio management system for **institutional investors** or custodians. Application includes securities database, portfolio accounting, performance measurement, analysis, asset allocation, inquiry, trading...

...PC's & Novell Networks

Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional investors**.

Savant Corp., 1211 Katy Frwy., Suit 250, Houston, TX 77079 The Investor's Portfolio \$495...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line**, real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...St., Wellesly, MA 02181 PMIS DEC VAX/VMS

Comprehensive multi-currency portfolio management system for **institutional investors** or custodians. Application includes securities database, portfolio accounting, performance measurement, analysis, asset

allocation, inquiry, trading...

...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line**, real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...PC's & Novell Networks

Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional investors**.

Quantec/Quantitative Analysis, 114 Liberty St., 8th Fl., New York, NY 10006 The International Risk...and updated - intra-day charting, - technical analysis, price/volume active, limit alarms, time and sales, **block trades**, communications for 60,000 quotes. -formula maker for spreads/ratios/basket-maker.

FutureSource, 955 Parkview...30XX Series; Operating systems: IBM OS, MVS; Language: COBOL

A real-time modular system supporting **securities trading**, clearance and custody. Includes extensive **automated** links to DTC, mortgage-backed processing and a program trading interface for trade list processing...accounting, performance evaluation, trading system, and dynamic financial reporting system for professional money managers and **institutional investors**.

Alpine Data, Inc., 737 S. Townsend Ave., Montrose, CO 81401 OIL/PACK \$3,995 IBM...

23/3,K/53 (Item 6 from file: 275)

DIALOG(R)File 275:Gale Group Computer DB(TM)

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01310389 SUPPLIER NUMBER: 07701786 (USE FORMAT 7 OR 9 FOR FULL TEXT)

OTC success spurs specialized trading systems. (over the counter trading)

Matthew, Janet

Wall Street Computer Review, v6, n12, p26(7)

Sept, 1989

ISSN: 0738-4343

LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 4197 LINE COUNT: 00330

...ABSTRACT: left the market and large investors have been taking up the slack in OTC. Big **block trades** comprise 43 percent of total volume on the Nasdaq National Market System. These developments have...

... stocks more attractive than the pricier, better-known blue-chip stocks. Since January 1989, big- **block trades** account for 43 percent of total volume on Nasdaq's National Market System.

Computerization is...

...exchange."

To keep up with the market upsurge, many of the larger market makers and **institutional investors** have designed and developed in-house trading systems over the past few years that can...see "Trading Technology," p. 9), makers of TR-AID--a real-time application that provides **automated securities trading** in a fault-tolerant Stratus hardware environment. Along with providing the

23/3,K/54 (Item 7 from file: 275)

DIALOG(R)File 275:Gale Group Computer DB(TM)

(c) 2004 The Gale Group. All rts. reserv.

01245625 SUPPLIER NUMBER: 06728253 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Vendor-sponsored directory. (third-party vendor alliances of interest to

the financial community) (directory)

Wall Street Computer Review, v5, n8, p42(14)

May, 1988

DOCUMENT TYPE: directory ISSN: 0738-4343

LANGUAGE: ENGLISH

RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 9096 LINE COUNT: 00846

... The Disclosure Database contains detailed financial and management information on over 12,000 companies that **trade** their **stock** in the United States.

* Financial **On - Line** Database DOW JONES NEWS/RETRIEVAL P.O. Box 300 Princeton, New Jersey 08540 Marketing Department...

...The Disclosure Database contains detailed financial and management information on over 12,000 companies that **trade** their **stock** in the United States.

* Financial **On - Line** Database COMPUSERVE EIS & BIS 5000 Arlington Centre Blvd., P.O. Box 20212 Columbus, Ohio 43220...

...The Disclosure Database contains detailed financial and management information on over 12,000 companies that **trade** their **stock** in the United States.

* Financial **On - Line** Database MEAD DATA CENTRAL P.O. Box 1830 Dayton, Ohio 45401 Marketing Department (800) 227...

...The Disclosure Database contains detailed financial and management information on over 12,000 companies that **trade** their **stock** in the United States.

* Financial **On - Line** Database ADP NETWORK SERVICES 175 Jackson Plaza Ann Arbor, MI 48106 Marketing Department (313) 995...

...The Disclosure Database contains detailed financial and management information on over 12,000 companies that **trade** their **stock** in the United States.

* Financial **On - Line** Database BRS INFORMATION TECHNOLOGIES 555 East Lancaster St. David's PA 19087 Marketing Department (800 and management information on over 12,000 companies that **trade** their **stock** in the United States.

* Financial **On - Line** Database QUOTRON One Battery Park Plaza New York, NY 10004 Marketing Department (212) 344-0400...415) 861-8900

THESIS

THESIS is a VM-based (S/370) investment management system for **institutional investors** that integrates all functions associated with trading, operations, and accounting for all fixed-income and...access to market data (quote, trade, highs, lows, volumes and news information). Features NYSE tape, **Block Trades**, Dow Jones, Reuter Ticker, Knight-Ridder, Market Monitor.

* Client Management INTELLEX Suite 22L, 211 W...

23/3,K/55 (Item 1 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

(c) 2004 The Gale Group. All rts. reserv.

04706487 Supplier Number: 63064445 (USE FORMAT 7 FOR FULLTEXT)

Italy's largest banking group chooses OpenTrade's Orbita for real-time e-trading.

M2 Presswire, pNA

June 30, 2000

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Trade

Word Count: 774

... group, has chosen Orbita middleware from OpenTrade as the intelligent digital backbone of its new **flagship**, Internet-based, retail e-trading service, IntesaTrade.

Gruppo Intesa is investing a total of some moderate price.

IntesaTrade is a leading-edge **Internet**-based investment and **securities trading** service that enables customers using an ordinary PC to trade in securities listed on the...

...and other investor decision support tools which up until now have been available only to **institutional investors**.

Key requirements of the IntesaTrade Web Site are the highest possible level of security and...display information in real-time.

Because OpenTrade is dedicated to Open standards, its cutting-edge **flagship** product, Orbita, works across the widest variety of platforms to provide industrial strength, business-oriented...

23/3,K/56 (Item 2 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

(c) 2004 The Gale Group. All rts. reserv.

03798203 Supplier Number: 48233322 (USE FORMAT 7 FOR FULLTEXT)

ECN MAY FIGHT NASDAQ-OPTIMARK DEAL

Wall Street Letter, v30, n3, pN/A

Jan 19, 1998

Language: English Record Type: Fulltext

Document Type: Newsletter; Professional Trade

Word Count: 314

(USE FORMAT 7 FOR FULLTEXT)

TEXT:

...NASD's charter as a self-regulatory organization, asserted Josh Levine, head of Island, an **electronic communications network** (ECN) that executes **orders** for Nasdaq **stocks**. By bringing OptiMark on as a part of Nasdaq, the NASD will stifle competition presented...

... blow to Instinet because both systems are geared toward providing institutions with anonymous execution of **block trades**. An Instinet spokesman declined comment. Kevin Foley, manager of Bloomberg Tradebook, another ECN, did not...

...the spokesman said. OptiMark CEO Bill Lupien did not return calls seeking comment.

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23/3,K/57 (Item 3 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

(c) 2004 The Gale Group. All rts. reserv.

02490826 Supplier Number: 44999509 (USE FORMAT 7 FOR FULLTEXT)

TRADEPOINT OPTS FOR ERICSSON X.25 PACKET SWITCHING AND BROADCAST FACILITIES

M2 Presswire, pN/A

Sept 19, 1994

Language: English Record Type: Fulltext

Document Type: Newswire; Trade

Word Count: 409

... professional investment management and trading community. The

Tradepoint system aims to facilitate trading by enabling participants to enter anonymous orders to buy and sell securities and provide for the automatic matching of executed trades. It also allows for instant publication of trading volumes and prices...

23/3,K/58 (Item 4 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

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02165280 Supplier Number: 44065959 (USE FORMAT 7 FOR FULLTEXT)

SPECIAL REPORT - Electronic Trade Confirmation: A Review of Progress Made to Date

Financial Technology Insight, pN/A

Sept, 1993

Language: English Record Type: Fulltext

Document Type: Newsletter; Trade

Word Count: 2049

... ETC, however, what cannot be doubted is that the incentives for users are there, with institutional investors (e.g. life assurance companies, pensions companies and investment management organizations) and brokers benefiting in very definite and significant ways from the introduction of ETC.

For institutional investors, ETC offers instantaneous, computer-based confirmation of the details of a trade, giving institutions the...

...by Thomson Financial Services largely in terms of its functions. These, according to Thomson, include:

- * electronic confirmation and contracting
- * block trades
- * trade allocations
- * global security numbering cross-reference database
- * built-in checks and balances
- * links to custodian banks
- * approved reporting...more accurate and up-to-date records, whether the front office is located within the institutional investor or the broker."

* All ETC vendors are independent: "The three ETC vendors were selected because...

...as encouraging deeper UK penetration of ETC and the wider geographical spread of ETC to institutional investors and brokers around the world, and developing IVLs. Lambert is also very keen for ETC...

23/3,K/59 (Item 5 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

(c) 2004 The Gale Group. All rts. reserv.

01514670 Supplier Number: 42157481 (USE FORMAT 7 FOR FULLTEXT)

INSTINET MULLS NEW MORNING CROSS, PRICED ON NYSE WEIGHTED AVERAGE

Trading Systems Technology, v4, n24, pN/A

June 17, 1991

Language: English Record Type: Fulltext

Document Type: Newsletter; Trade

Word Count: 710

... Crossing Network plans.

Instinet's Crossing Network currently crosses five evenings a week --allowing big **investors** to **anonymously** **buy** and **sell** **securities** by **automatically** matching them through the system. The network currently has about 350 users -- with an average...

23/3,K/60 (Item 1 from file: 625)

DIALOG(R)File 625:American Banker Publications

(c) 2004 American Banker. All rts. reserv.

0103037

A Glossary of Computer Technology Terms

American Banker - October 25, 1989; Pg. 10; Vol. 154, No. 209

WORD COUNT: 6,811

TEXT:

...printer that sprays characters onto a page at high speed.

Instinet: A computerized block trading **network** formed so institutions can **buy** and **sell** **stock** **anonymously** among themselves without the intermediation of a **broker**.

integrated package: Software that combines on one disk several functions that otherwise require separate programs...

23/3,K/61 (Item 2 from file: 625)

DIALOG(R)File 625:American Banker Publications

(c) 2004 American Banker. All rts. reserv.

0095333

GLOSSARY OF COMPUTER TECHNOLOGY TERMS

American Banker - February 1, 1989; Pg. 10; Vol. 154, No. 22

WORD COUNT: 6,408

TEXT:

...printer that sprays characters onto a page at high speed.

Instinet: A computerized block trading **network** formed so institutions can **buy** and **sell** **stock** **anonymously** among themselves without the intermediation of a **broker**.

integrated package: Software that combines on one disk several functions that otherwise require separate programs...

23/3,K/62 (Item 1 from file: 268)

DIALOG(R)File 268:Banking Info Source

(c) 2004 ProQuest Info&Learning. All rts. reserv.

00335726 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Australia keeps pace

Anonymous

ICB, v14, n2, p42-44, Mar/Apr 1998 DOCUMENT TYPE: Journal Article

ARTICLE TYPE: News LANGUAGE: English RECORD TYPE: Abstract Fulltext

WORD COUNT: 02498

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... that bridges the gap between trading and settlement. It includes activities such as allocating a "**block**" **trade** among registered holders and the generation and delivery of the associated contract notes to the...

...the professional market with 80% or more of market capitalization controlled by domestic and international **institutional investors** . Market turnover is concentrated: the top 50 companies represent about 75%. Trade processing is centralised...

...or conduct the order in the local market.

The trading of equities is via the **Stock Exchange Automated Trading** System (Seats). This system is order- driven rather than quote-driven as in many other...to execute the order to sell, transfer the shares and pay the client promptly.

Most **institutional investors** maintain their securities in the Reserve Bank's Austraclear depository and therefore will not be...

Set	Items	Description
S1	0	AU=(SHAW D? OR SHAW, D? OR KOSOFSKY, D? OR KOSOFSKY D?)
S2	12054703	TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BUYING OR ORDER? OR TRADES OR TRADE
S3	9617611	SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL- () INSTRUMENT?
S4	508850	ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5	1218975	ALERT? OR FLAG? OR TRIGGER?
S6	8305197	DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIENT? OR INVESTOR? OR PARTICIPANT?
S7	574330	S2(2N)S3
S8	34018	S7(5N) (COMPUTER? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR ONLINE OR ON()LINE OR WEB? OR INTERNET? OR WWW)
S9	215	S8(20N)S5
S10	10555	S8(10N)S6
S11	34	S10(20N)S4
S12	171016	INSTITUTION? () INVESTOR?
S13	4847	BLOCK() TRADE? ?
S14	3	S8(2S)S12(2S)S13
S15	395	S8(S) (S12 OR S13)
S16	19	S15 AND S5
S17	2	S9(S) (BARGAIN? OR NEGOTIAT? OR HAGGL?)
S18	58	S11 OR S14 OR S16 OR S17
S19	40	S18 NOT PY>2000
S20	40	S19 NOT PD=20000926:20040224
S21	34	RD (unique items)

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(c) 2004 The Dialog Corp.

21/3,K/1 (Item 1 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

12624955 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Online trade hurts brokers

a staff reporter

HONG KONG IMAIL

August 31, 2000

JOURNAL CODE: WHKS LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 359

(USE FORMAT 7 OR 9 FOR FULLTEXT)

ONLINE securities trading has **triggered** a slide in broker commission fees in Asia, said panelists at a Credit Suisse First...

... CSFBNext, a CSFB unit set up to cater online trading for institutional investors. US-based **online securities trading** guru, T D Waterhouse Group's managing director for Asia, Karen Buck, said that investors...

21/3,K/2 (Item 2 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

12396534 (USE FORMAT 7 OR 9 FOR FULLTEXT)

OPENTRADE: Italy's largest banking group chooses OpenTrade's Orbita for real time e trading

M2 PRESSWIRE

June 30, 2000

JOURNAL CODE: WMPR LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 738

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... group, has chosen Orbita middleware from OpenTrade as the intelligent digital backbone of its new **flagship**, Internet-based, retail e-trading service, IntesaTrade.

Gruppo Intesa is investing a total of some...

... and other investor decision support tools which up until now have been available only to **institutional investors**.

Key requirements of the IntesaTrade Web Site are the highest possible level of security and...

...display information in real-time.

Because OpenTrade is dedicated to Open standards, its cutting-edge **flagship** product, Orbita, works across the widest variety of platforms to provide industrial strength, business-oriented...

21/3,K/3 (Item 3 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
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12073474

Former Goldman Sachs partner aiming at 'finance for the pu

YOMIURI SHIMBUN/DAILY YOMIURI

July 25, 2000

JOURNAL CODE: FYOM LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 1532

... we will make more money doing so. But I believe an individual is a unit. **Institutional investors** can only invest money because private investors entrust them with it. So power lies with...of 1,000 yen, compared to the 15,000 yen offered by other firms. This **triggered** a competition to lower online transaction fees. You also offered the lowest investment trust transaction...

...reform this aspect of the market. So, in this regard, do you think Monex will **trigger** a revolution? Well, we hope so.

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21/3,K/4 (Item 4 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
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11347549 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Traded Options: Traditional values - The FTSE 100 is being infiltrated by
INVESTORS CHRONICLE, p49
March 03, 2000
JOURNAL CODE: FIC LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 486

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... down their holdings in traditional companies. Most of the cash released has been used to **buy stocks** in technology, media, the **internet** and telecommunications. There are now some 20 stocks in the index that fall into those...

... not at the low points yet, although as always with traded options, we must remain **alert** to sudden changes of fashion.

Next we go to Vodafone AirTouch (362p), which continues to...

21/3,K/5 (Item 5 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

10228528 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Kansas City, Mo.-Based Mutual-Fund Firm Creates New-Business Vehicle
Mark Davis
KRTBN KNIGHT-RIDDER TRIBUNE BUSINESS NEWS (KANSAS CITY STAR - MISSOURI)
March 24, 2000
JOURNAL CODE: KKCS LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 681

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... and Optimark Technologies in New Jersey, an online trading system for large block trades among **institutional investors**.

Those investments have been added to American Century Ventures, but aren't included in the...

21/3,K/6 (Item 6 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
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09938006 (USE FORMAT 7 OR 9 FOR FULLTEXT)

St. Louis-Based Stock Brokerage Aims for Long-Term Investment Stability

Steven Oberbeck

KRTBN KNIGHT-RIDDER TRIBUNE BUSINESS NEWS (SALT LAKE TRIBUNE - UTAH)

March 05, 2000

JOURNAL CODE: KSLT LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 723

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... rage.

"We do not cater to stock traders, institutional investors or those who want to **buy** or **sell** **stocks** over the **Internet**," said James Bachman, the company's managing partner. "That has never been our focus."
Edward...

...a client in a mutual fund and take them out three years later, the red **flags** would be going up all the way to St. Louis," Arnold said. "The head office..."

21/3,K/7 (Item 7 from file: 20)

DIALOG(R)File 20:Dialog Global Reporter

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09149844 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Finance and Economics: E-bonds, licensed to kill: Electronics and the bond markets: Does the Internet sound the death-knell for the traditional bond market?

ECONOMIST

January 15, 2000

JOURNAL CODE: FECN LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 1293

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... under the auspices of the Boston Stock Exchange. Institutions will be able to put large **block - trade** orders into the system safe in the knowledge that no information about their intentions will...an economist at the Council on Foreign Relations. However, it will depend on how willing **institutional investors** are to abandon their old ways and cosy relationships. Nobody doubts that electronic trading has...

21/3,K/8 (Item 8 from file: 20)

DIALOG(R)File 20:Dialog Global Reporter

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08147202 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Bond Market Association Survey Finds 39 Electronic Trading Systems Serving Institutional Fixed-Income Market; 50 Percent Increase From One Year Ago

PR NEWSWIRE

November 09, 1999

JOURNAL CODE: WPRW LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 745

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... of interdealer brokers have introduced or plan to introduce

electronic transaction systems that will allow **dealers** **anonymously** to execute **transactions** in **securities** through proprietary **networks** . Most of these systems are targeting the U.S. Treasury securities market, but can be...

21/3,K/9 (Item 9 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
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06907123 (USE FORMAT 7 OR 9 FOR FULLTEXT)
i-- money Customers To Link Directly Through To E-Trade Canada In Online
Strategic Alliance
CANADIAN CORPORATE NEWS
August 25, 1999
JOURNAL CODE: WCCN LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 683

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... have accounts with E-TRADE Canada will be able to move seamlessly from receiving an **alert** , reviewing their portfolio, and making stock or mutual fund decisions, to placing an order with...
... and provides access to electronic securities trading services and related products for both retail and **institutional investors** through its electronic trading network.
VERSUS' retail business is marketed exclusively in Canada under the...

21/3,K/10 (Item 10 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

06826780
Netiquette
FINANCIAL POST, p04
August 21, 1999
JOURNAL CODE: FFP LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 200

Help is on the way for day **traders** who can't curb their **stock - trading** addiction. "The thing about the **Internet** is that it is so easy and so accessible and so **anonymous** ," says David Greenfield, a Connecticut psychiatrist whose book, Virtual Addiction: Help for Netheads, Cyberfreaks and...

21/3,K/11 (Item 11 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
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06817685
Odd Lots
FINANCIAL POST, p08
August 20, 1999
JOURNAL CODE: FFP LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 201

...authenticated access controls are abundant in many areas."
- Help is on the way for day **traders** who can't curb their **stock -**

trading addiction. "The thing about the Internet is that it is so easy and so accessible and so anonymous," says David Greenfield, a Connecticut psychiatrist whose book, Virtual Addiction: Help for Netheads, Cyberfreaks and...

21/3,K/12 (Item 12 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
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04850560 (USE FORMAT 7 OR 9 FOR FULLTEXT)
As Online Trading Grows, So Do Problems
Bill Deener
KRTBN KNIGHT-RIDDER TRIBUNE BUSINESS NEWS (DALLAS MORNING NEWS - TEXAS)
April 03, 1999
JOURNAL CODE: KDMN LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 1613

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... online brokerages is that the allure of low commissions and fast trades has transformed some investors into day-trading speculators, who often trade on stock tips posted anonymously on Internet bulletin boards.

"The level of speculation has risen dramatically," according to a recent report by...

21/3,K/13 (Item 13 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
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04806360 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Trading Edge Installs 200th Seat On New Bondlink Service; The Countdown Continues for Live High Yield Bond Trading on April 15th
BUSINESS WIRE
March 30, 1999
JOURNAL CODE: WBWE LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 388

...broker, today announced the company has installed its 200th seat on BondLink(TM), the first anonymous, secure, real-time service for trading high yield bonds via the Internet. Trading Edge anticipates approaching 300 installed users by April 15th, the day it launches the BondLink service.

BondLink is a virtual meeting...

21/3,K/14 (Item 14 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

04636598 (USE FORMAT 7 OR 9 FOR FULLTEXT)
VERSUS Technologies Inc., Parent Company of E*TRADE Canada, Completes Initial Public Offering of Common Shares
PR NEWSWIRE
March 15, 1999
JOURNAL CODE: WPRW LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 1076

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... and provides access to electronic securities trading services and related products for both retail and **institutional investors** through its electronic trading network.

"We selected VERSUS as our Canadian partner largely because of...

... products and services that can be personalized, including portfolio tracking, real-time stock quotes, Smart **Alerts**, market commentary and analysis, news, investor community areas and other information services. E*TRADE was...

21/3,K/15 (Item 15 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
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04422542 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Digex Selected by Standard & Poor's to Provide Web Hosting Solutions; LIMITrader Securities, Inc. Also Realizes Benefits of Digex Financial Solutions Group
BUSINESS WIRE
February 23, 1999
JOURNAL CODE: WBWE LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 950

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... test next month, will deliver the first electronic trading transaction environment for corporate bonds where **investors** meet **anonymously** and negotiate online. The LIMITrader system fully **automates** the **bond trading** process, matching buyers and sellers based on their preset criteria and notifying them of interested...

21/3,K/16 (Item 1 from file: 476)
DIALOG(R)File 476:Financial Times Fulltext
(c) 2004 Financial Times Ltd. All rts. reserv.

0010553115 A20000810356-87-FT
COMPANIES & FINANCE: THE AMERICAS: Salomon joins electronic bond trading system
JOSHUA CHAFFIN
Financial Times, London Ed1 ED, P 24
Thursday, August 10, 2000
DOCUMENT TYPE: NEWSPAPER; Stories LANGUAGE: ENGLISH RECORD TYPE:
FULLTEXT SECTION HEADING: COMPANIES & FINANCE: THE AMERICAS
Word Count: 292

...saying that it would increase transparency and liquidity and lower prices for corporate and municipal **bonds**.

The **electronic trading** system, to go live during the fourth quarter, will allow **dealers** and institutional customers to trade bonds on an **anonymous** basis.

21/3,K/17 (Item 2 from file: 476)
DIALOG(R)File 476:Financial Times Fulltext
(c) 2004 Financial Times Ltd. All rts. reserv.

0004501660 B08F3BOAAXFT

UK Company News: Germans Act On Automatic Sell And Buy Orders

Our Financial Staff

Financial Times, P 27

Wednesday, June 22, 1988

DOCUMENT TYPE: NEWSPAPER LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

Word Count: 156

TEXT:

West Germany's stock exchanges are likely to permit **institutional investors** the use of **automatic sell and buy orders** in **stock trading** as of 1989.

The advisory council to the Association of German Stock Exchanges has recommended...

...said.

Stop-loss orders have been barred in the past on fears that they could **trigger** excessive price fluctuations in either direction.

The instrumentes will be limited to variable trading used...

21/3,K/18 (Item 1 from file: 610)

DIALOG(R)File 610:Business Wire

(c) 2004 Business Wire. All rts. reserv.

00095026 19990825237B0122 (USE FORMAT 7 FOR FULLTEXT)

i5/8money Customers To Link Directly Through To E-Trade Canada In Online Strategic Alliance

Business Wire

Wednesday, August 25, 1999 09:24 EDT

JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 772

TEXT:

...have

accounts with E-TRADE Canada will be able to move seamlessly from receiving an **alert**, reviewing their portfolio, and making stock or mutual fund decisions, to placing an order with...

...together with its wholly-owned subsidiary VERSUS Brokerage Services Inc., is a leading provider of **electronic securities trading** services to the Canadian marketplace. VERSUS develops, distributes and provides access to **electronic securities trading** services and related products for both retail and **institutional investors** through its electronic trading network.

VERSUS' retail business is marketed exclusively in Canada under the...

21/3,K/19 (Item 1 from file: 613)

DIALOG(R)File 613:PR Newswire

(c) 2004 PR Newswire Association Inc. All rts. reserv.

00203249 19991027LAW040 (USE FORMAT 7 FOR FULLTEXT)

ExperTelligence, Inc. Subsidiary Announces Partnership with Island ECN

3DStockCharts.com Provides Live 3D Charts of Island Streaming Limit Order Book

PR Newswire

Wednesday, October 27, 1999 09:30 EDT

JOURNAL CODE: PR LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 682

...ECN, Inc. is an electronic order-matching system that gives brokerage firms the power to **electronically** display and match **stock orders** for retail and **institutional investors**. Brokerage firms leverage Island's speed, reliability and efficiency for the ultimate benefit of the...

...in the development and hosting of Web/Database and Electronic Commerce application solutions using its **flagship** products WebBase and ExperForms.

Expertelligence, Inc. 25 E. Ortega Street Santa Barbara, CA 93101, Tel

...

21/3,K/20 (Item 1 from file: 624)

DIALOG(R)File 624:McGraw-Hill Publications

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01050566

THE E-BOND REVOLUTION: How the Internet is reshaping the world's largest financial market

Business Week November 15, 1999; Pg 270; Number 3655

Journal Code: BW ISSN: 0007-7135

Section Heading: Special Report: THE NEW FINANCE

Word Count: 2,636 *Full text available in Formats 5, 7 and 9*

BYLINE:

By Toddi Gutner in New York

SPECIAL FEATURE:

Illustration: Graphic: **Participants** **anonymously** send bids on new **bonds electronically**. **Orders** are then aggregated and executed at a previously specified time.

ALAN LEVENSON; GRAPHICS BY LAUREL...

21/3,K/21 (Item 2 from file: 624)

DIALOG(R)File 624:McGraw-Hill Publications

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00991196

ONLINE FIRMS BEGINNING TO PROVIDE RETAIL INVESTORS WITH OPTION TO DIRECT ORDERS

Securities Week January 18, 1999; Pg 5; Vol. 26, No. 3

Journal Code: SW ISSN: 0149-3582

Section Heading: SPECIAL SECTION: SECURITIES INDUSTRY INTERNET UPDATE

Word Count: 770 *Full text available in Formats 5, 7 and 9*

BYLINE:

BT

TEXT:

... placed and where they believe they will receive the best and fairest pricing.

Previously, and **unknown** to the majority of retail **investors**, **orders** for specific **securities** entered into **online** systems have **automatically** been directed to pre-determined wholesalers, electronic communication networks and third-market firms with whom...

21/3,K/22 (Item 3 from file: 624)
DIALOG(R)File 624:McGraw-Hill Publications
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00899793

TRADEPOINT FILES WITH SEC TO ALLOW

Securities Week November 3, 1997; Pg 1; Vol. 24, No. 44
Journal Code: SW ISSN: 0149-3582
Word Count: 299 *Full text available in Formats 5, 7 and 9*

BYLINE:
HW

TEXT:

... trading volume has been quite small on the electronic market that facilitates trading by enabling **participants** to enter **anonymous** orders to **buy** and **sell securities** and that provides for **automatic** matching.

But he said "there is a strong indication" that a number of U.S...

21/3,K/23 (Item 4 from file: 624)
DIALOG(R)File 624:McGraw-Hill Publications
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0703364

NEW ELECTRONIC STOCK EXCHANGE BEGINS OPERATING IN LONDON

Securities Week September 25, 1995; Pg 1; Vol. 22, No. 37
Journal Code: SW ISSN: 0149-3582
Word Count: 561 *Full text available in Formats 5, 7 and 9*

BYLINE:
HW

TEXT:

...with each other from their own personal computers.

It aims to facilitate trading by enabling **participants** to enter **anonymously** orders to **buy** and **sell securities** and provide for the **automatic** matching of executed trades. It also allows for instant publication of trading volumes and prices...

21/3,K/24 (Item 5 from file: 624)
DIALOG(R)File 624:McGraw-Hill Publications
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0239433

THE NASD: A COMPUTERIZED MOUSE THAT'S ROARING: Now it's planning to cast its electronic trading net around more companies in the U.S. and overseas

Business Week September 17, 1990; Pg 128; Number 3178

Journal Code: BW ISSN: 0007-7135
Section Heading: Finance
Word Count: 1,409 *Full text available in Formats 5, 7 and 9*

BYLINE:

Dean Foust in Washington and David Zigas in New York

TEXT:

... significant trading in pink-sheet stocks. Aided by artificial-intelligence software programs, the NASD was **alerted** in 1988 to suspicious trades at one of the biggest penny-stock firms, Denver-based ...

TABLE:

...stocks by computer	
that used to be in the pink sheets	6/1/90
PORTAL	
Institutional investors can trade	
privately offered securities	6/15/90
LINKAGE WITH LONDON EXCHANGE	
Before-hours trading of NASDAQ and	
listed stocks	12/31/90
JUNK- BOND TRADING SYSTEM	
Computer network for buying and	
selling junk bonds	Under development

DATA: KNIGHT-RIDDER TRADECENTER, NASD, NYSE

21/3,K/25 (Item 1 from file: 634)
DIALOG(R)File 634:San Jose Mercury
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10058123

N.Y. EXCHANGE EYES TECH STOCKS ALLIANCE POSSIBLE WITH ELECTRONIC TRADING NETWORK

San Jose Mercury News (SJ) - Saturday, February 27, 1999
By: SCOTT HERHOLD, Mercury News Staff Writer
Edition: Morning Final Section: Business Page: 1C
Word Count: 851

... the volume on the Nasdaq exchange has surpassed that of the Big Board. Meanwhile, the **electronic stock - trading networks**, which allow **investors** to buy and sell shares **anonymously**, accounted for 28 percent of all Nasdaq trades in 1998, up from about 24 percent...

21/3,K/26 (Item 2 from file: 634)
DIALOG(R)File 634:San Jose Mercury
(c) 2004 San Jose Mercury News. All rts. reserv.

06302049

THE MALADJUSTED MARKET BIG BOARD'S FUTURE IS THREATENED AS SMALLER COMPETITORS MODERNIZE TRADING

San Jose Mercury News (SJ) - Monday, October 28, 1991
By: STEVE KAUFMAN, Mercury News Economics Writer
Edition: Morning Final Section: Business Monday Page: 1D
Word Count: 1,414

...annually since 1986, now averages 8 million shares a day.

(check) Growing competition for the trading of NYSE stocks from **electronic networks** like Instinet, which allow big institutional **traders** such as pension funds to trade stocks **anonymously** and when the exchange is closed -- sometimes at much lower prices. The Instinet Real Time...

21/3,K/27 (Item 1 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
(c) 2004 Bond Buyer. All rts. reserv.

0227768

E-Trading Platforms Proliferate, But How Many Will Survive?

The Bond Buyer - September 21, 2000; Pg. 1; Vol. 333, No. 30980

Word Count: 1,061

BYLINE:

By Sheri Carpenter-Kasprzak

TEXT:

...the survey said, have introduced or plan to introduce electronic transaction systems that will allow **dealers** to **anonymously** execute transactions in **securities** through proprietary **networks**.

Multi- **dealer** systems, or systems that provide customers with consolidated orders from two or more dealers as...

21/3,K/28 (Item 2 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
(c) 2004 Bond Buyer. All rts. reserv.

0225139

Market Axess Throws Its Hat Into the Electronic Trading Ring

The Bond Buyer - June 27, 2000; Pg. 1; Vol. 332, No. 30921

Word Count: 1,059

BYLINE:

By Darrell Preston

TEXT:

As **online bond - trading** platforms proliferate, it is becoming clear that the many services' drive to differentiate themselves means...

...Market Axess, which is scheduled to go live next month with a platform targeting large- **block trades** of a wide variety of fixed-income securities between and among broker-dealers and **institutional investors**, has announced that it will reveal the identities of all sellers and buyers on its...

...bringing a multi-dealer approach to providing price and inventory information along with research to **institutional investors**, according to Richard McVey, chief executive officer of Market Axess.

"In many cases what you...

21/3,K/29 (Item 3 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
(c) 2004 Bond Buyer. All rts. reserv.

0215965

With the Click of a Mouse, MBIA Provides Insurance Over the Internet
The Bond Buyer - August 12, 1999; Pg. 44; Vol. 329, No. 30703
Word Count: 386

BYLINE:
By Kenneth Heaton

TEXT:
...Murray L. Finebaum, chairman and chief executive officer of Trading Edge, a fixed-income securities **broker**, created BondLink as an **anonymous** secure, real-time service for **trading bonds** over the **Internet**. Before leading Trading Edge, Finebaum was president and CEO of Instinet Corp., an electronic brokerage...

21/3,K/30 (Item 4 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
(c) 2004 Bond Buyer. All rts. reserv.

0204257

Trading Systems: Cantor, CBOT Spar Over Proposed Futures Exchange
The Bond Buyer - August 5, 1998; Pg. 34; Vol. 325, No. 30450
Word Count: 945

BYLINE:
By Robert Whalen

TEXT:
...LP's proprietary network, will match bids wanted with bids offered in a real-time, **anonymous** environment, said Cantor spokeswoman Debra Walton.

The system is already being used by a small group of **broker - dealers**, although further details were not yet available, Walton said.

Electronic secondary **trading** of municipal **bonds** has been viewed by many market **participants** as the next logical step in the technological evolution of the public finance industry. And...

21/3,K/31 (Item 1 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
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04570565

Short Takes
Editorial Staff
Web Finance

September 4,2000 DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH WORD COUNT: 1365

RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

TEXT:

...income issues are analyzed for callability, type, regional exposure, credit quality and maturity. Clients are **alerted** when any issue does not match Morgan's recommendations.

Additional features incorporated into Morgan OnLine include e-mail **alerts** when portfolio value changes and reminders to carry out time-sensitive recommendations, life and disability...a statement.

BuySideDirect Launches

Convertible Bond Trading System

Intelligent Markets, Inc., launched its BuySideDirect convertible **bond trading** system (see **WebFinance** , 7/17/00). BuySideDirect's Internet-based platform provides automated contingent order execution through proprietary ...

...they began mock trading on the system.

According to the company, the BuySideDirect system offers **institutional investors** a number of features. It offers single marketplace for swap orders, an enhanced price discovery...

21/3,K/32 (Item 2 from file: 267)

DIALOG(R)File 267:Finance & Banking Newsletters

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04560282

Closer Look - Friess Framed: The Brandywine Fund manager, whose philosophy made him miss the tech stock surge, says his approach is about to pay off in a big way at last.

Alan Lavine

Annuity Market News

January 1,2000 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 1452

RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

TEXT:

...the Brandywine Fund ran into problems when the Asian markets collapsed in 1997. The collapse **triggered** weak earnings globally. In response, Friess moved into cash. Going into 1998, 75% of the...was going into large-company stocks because of the Asian crisis," Friess says. "Individual and **institutional investors** were chasing momentum and Internet stocks with no earnings. We have a strict investment P...

...stock that is growing earnings at 30% annually, but he is quick to pull the **trigger** if his earnings estimates are lower than the previous quarter's numbers.

That didn't do much good in markets where **Internet** initial public offerings and growth **stocks** were **trading** at stratospheric P/E multiples and kept right on rising. "Last year, the price- and...

21/3,K/33 (Item 3 from file: 267)

DIALOG(R)File 267:Finance & Banking Newsletters

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04548783

Technology Changing Market Place

Staff Reports

Investor Relations Business

April 26, 1999 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 600

RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

TEXT:

...one of more than 100 brokers. Over 30% of the volume in Nasdaq and NYSE **stocks** results from **trades** over the **Internet**. And nearly 37% of all individual investors' trades are entered online, up from 17% in...

...for movements in prices of individual stocks or news about particular securities and send an **alert** to an individual investor," said Unger.
The ability to receive information almost instantaneously has fueled...

...page could include a quote tracker tracking the investor's 10 favorite stocks, or set **alerts** to sound upon issuance of a new research report, news about a stock or whenever...

...would allow companies to use the Internet to broadcast their roadshows to both retail and **institutional investors**, to hold chat room discussions about their offerings and to use electronic mail to answer...

21/3,K/34 (Item 4 from file: 267)

DIALOG(R)File 267:Finance & Banking Newsletters

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04543583

Nations leaves syndicate fuming in block deal

Brian Garrity

Investment Dealers Digest

December 14, 1998 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 511

RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

...Stanley Dean Witter, all slated to serve as co-managers in the deal, were not **alerted** to the shift in Montgomery strategy until after the deal priced.

...

TEXT:

...million share secondary stock offering for Flextronics International Ltd. and sell the deal as a **block trade** instead came as a surprise to the transaction's three heavyweight co-managers, who were...

...Stanley Dean Witter, all slated to serve as co-managers in the deal, were not **alerted** to the shift in Montgomery strategy until after the deal priced.

"The deal just vanished...

...7 million shares, while another

1 million shares were sold by subsidiaries of Royal Philips **Electronics**
. The **stock** was **trading** at \$71.25 as of press time.
Sources familiar with the transaction called the timing...

Set	Items	Description
S1	301	AU=(SHAW D? OR SHAW, D? OR KOSOFSKY, D? OR KOSOFSKY D?)
S2	683495	TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BUYING OR ORDER? OR TRADES OR TRADE
S3	445723	SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL- () INSTRUMENT?
S4	14440	ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5	2424430	ALERT? OR WARN? OR SIGNAL? OR FLAG? OR TRIGGER?
S6	541404	DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIENT? OR INVESTOR? OR PARTICIPANT?
S7	3483780	COMPUTER? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR ONLINE OR ON() LINE OR WEB? OR INTERNET? OR WWW
S8	1904	S2(10N)S3(10N)S7
S9	91	S8 AND S5 AND S6
S10	28	S8 AND S4
S11	3	S1 AND S8
S12	63	(S9 OR S10 OR S11) AND IC=G06F-017/60

? show file

File 344:Chinese Patents Abs Aug 1985-2003/Nov

(c) 2003 European Patent Office

File 347:JAPIO Oct 1976-2003/Oct(Updated 040202)

(c) 2004 JPO & JAPIO

File 350:Derwent WPIX 1963-2004/UD,UM &UP=200412

(c) 2004 Thomson Derwent

File 371:French Patents 1961-2002/BOPI 200209

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12/5/1 (Item 1 from file: 347)
DIALOG(R)File 347:JAPIO
(c) 2004 JPO & JAPIO. All rts. reserv.

07483563 **Image available**
SYSTEM FOR MANAGING SETTLEMENT

PUB. NO.: 2002-352081 [JP 2002352081 A]
PUBLISHED: December 06, 2002 (20021206)
INVENTOR(s): IESHIMA KENJI
FUTAKI SEIJI
APPLICANT(s): HITACHI LTD
APPL. NO.: 2001-160993 [JP 20011160993]
FILED: May 29, 2001 (20010529)
INTL CLASS: G06F-017/60

ABSTRACT

PROBLEM TO BE SOLVED: To perform a security transaction while avoiding failure by previously detecting the fear of settlement impossible (failure).

SOLUTION: A takeover trading with the fear of not completing till a transaction time limit is extracted by balance information by brand and individual settlement information and a **user** is **warned**. Brand and a face amount required at this side are reported to a **customer** with system linkage and rapid establishment is supported concerning the **transaction**. Moreover, the margin of the **securities** at the opposite side with linkage is read and, then, a **selling transaction** is **automatically** generated in the system of the **customer** with a margin, a takeover trading is in the system at this side so that the rapid performance of the transaction is supported.

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12/5/2 (Item 2 from file: 347)
DIALOG(R)File 347:JAPIO
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07429391 **Image available**
COMPUTER VOICE **SECURITIES** **TRANSACTION** AND **ON - LINE** INVESTIGATION
SYSTEM

PUB. NO.: 2002-297901 [JP 2002297901 A]
PUBLISHED: October 11, 2002 (20021011)
INVENTOR(s): KYU KOTETSU
APPLICANT(s): SANTIKU SHIJIN KOFUN YUGENKOSHI
APPL. NO.: 2001-085655 [JP 20011085655]
FILED: March 23, 2001 (20010323)
INTL CLASS: G06F-017/60 ; G06F-003/16

ABSTRACT

PROBLEM TO BE SOLVED: To provide a computer voice **securities transaction** and an **on - line** investigation system.

SOLUTION: This system has a step for forming the basis of a value investigation and an **automatic** written request inspection of a **user** by directly receiving instant price information from a **securities transaction** institution or the other information source, a step for operating the system by a double tone multifrequency **signal** generated on

the basis of push of telephone buttons by a remote **user** by connecting an external telephone line of multiports, a step for broadcasting voice to the remote **user** by reading the newest price numerical value preserved in an instant price database, and converting the price numerical value into a corresponding voice defining file, and a step for instantly investigating securities transactions or individual account information by being connected to a control system of the transactions and the account information of respective stock companies via a transaction sub-system after the remote **user** acquires the instant piece information.

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12/5/3 (Item 3 from file: 347)

DIALOG(R)File 347:JAPIO

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07368331 **Image available**

ELECTRONIC COMMERCE SYSTEM OF STOCK

PUB. NO.: 2002-236828 [JP 2002236828 A]

PUBLISHED: August 23, 2002 (20020823)

INVENTOR(s): SUMI SHIGEJI

APPLICANT(s): SUMI SHIGEJI

APPL. NO.: 2001-035195 [JP 20011035195]

FILED: February 13, 2001 (20010213)

INTL CLASS: G06F-017/60

ABSTRACT

PROBLEM TO BE SOLVED: To solve problems of having risk of causing an error in an amount and quantity even ten times by erroneous input of one character, and increasing risk of causing an erroneous order by the erroneous input due to **computerization** and **automatic** control while bringing about facilities capable of placing an **order** anytime for almost 24 hours for an **investor**, and requiring no manpower for a **security** company in **electronic** commerce of **stocks** via the **Internet**.

SOLUTION: A page is arranged for allowing the **investor** to set restrictions of the **order** by the self-setting. This system can correct the error by displaying a **warning** when inputting the order falling wide of the restriction of the self- setting by the erroneous input.

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12/5/4 (Item 4 from file: 347)

DIALOG(R)File 347:JAPIO

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07146756 **Image available**

DOCUMENT READING SERVER FOR SECURITIES TRANSACTION, AND DEVICE AND METHOD FOR SECURITIES TRANSACTION

PUB. NO.: 2002-015135 [JP 2002015135 A]

PUBLISHED: January 18, 2002 (20020118)

INVENTOR(s): NODA KOJI

APPLICANT(s): NODA KOJI

APPL. NO.: 2000-197696 [JP 2000197696]

FILED: June 30, 2000 (20000630)

INTL CLASS: G06F-017/60 ; G06F-013/00

ABSTRACT

PROBLEM TO BE SOLVED: To enable a **securities** company to learn that an **orderer** has confirmed contract contents.

SOLUTION: A mail transmitting **client** 105 of a **transaction** center 10 transmits a contract notice mail to the portable telephone set 20 having a mail **Web** reading function of the orderer. The orderer performs authentication, subsequently requests a Web server 101 for contract collation Web page reading, selects an option for Web page contract confirmation notice and transfers the URL of a confirmation processing program 120 and a transaction number to the server 101. The program 120 erects a confirmation **flag** in the confirmation field of a transaction database 110.

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12/5/5 (Item 5 from file: 347)

DIALOG(R)File 347:JAPIO

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07015762 **Image available**

ELECTRONIC COMMERCIAL TRANSACTION METHOD AND PORTABLE TERMINAL FOR DEALING WITH ELECTRONIC COMMERCIAL TRANSACTION

PUB. NO.: 2001-243392 [JP 2001243392 A]

PUBLISHED: September 07, 2001 (20010907)

INVENTOR(s): KAJITA MIKIHIRO

APPLICANT(s): NEC CORP

APPL. NO.: 2000-052635 [JP 200052635]

FILED: February 29, 2000 (20000229)

INTL CLASS: G06F-017/60 ; G07G-001/12

ABSTRACT

PROBLEM TO BE SOLVED: To sufficiently keep **security** by adopting a personal authentication based on authentication information by enabling a **customer** to unitarily provide an **electronic** commercial **transaction** with a portable terminal.

SOLUTION: In steps 101 and 110, the **customer** pulls out a required amount (amount information) in the state of electronic information from a bank via the Internet to an IC memory for management inside his/her own portable terminal. In steps 102 and 103 and steps 111 and 112, the **customer** performs self-personal authentication while using authentication information built in the IC memory for management of his/her own portable terminal and transmits the successful authentication **signal** of the relevant personal authentication to a seller as the party of the commercial transaction before the commercial transaction. In steps 106 and 114, on the basis of information showing the purchase amount of the commercial transaction transmitted from the seller to the portable terminal of the **customer**, the amount information in the portable terminal is updated in steps 107 and 115.

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12/5/6 (Item 6 from file: 347)

DIALOG(R)File 347:JAPIO

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05957551 **Image available**
AUTOMATIC RETRANSMTITING SYSTEM FOR **STOCK** **ORDER** DATA

PUB. NO.: 10-240651 [JP 10240651 A]
PUBLISHED: September 11, 1998 (19980911)
INVENTOR(s): HASE MASAYUKI
APPLICANT(s): HITACHI LTD [000510] (A Japanese Company or Corporation), JP
 (Japan)
APPL. NO.: 09-045265 [JP 9745265]
FILED: February 28, 1997 (19970228)
INTL CLASS: [6] G06F-013/00; **G06F-017/60**
JAPIO CLASS: 45.2 (INFORMATION PROCESSING -- Memory Units); 45.4
 (INFORMATION PROCESSING -- Computer Applications)

ABSTRACT

PROBLEM TO BE SOLVED: To secure the real time ability of **stock order** and to save the manpower of a job by **automatically** accumulating **stock order** data in a DB server when communication with a host computer is impossible and **automatically** retransmitting **stock** data accumulated with the communication at the time of resumption of the host computer.
SOLUTION: When a stock order is inputted from a **client** terminal 10, stock order data are transmitted to a repeating server 30. At that time, the repeating server 30 refers to the communication state **flag** of the host computer 50. When the communication state **flag** cannot be communicated, the repeating server 30 gives a stock order data accumulation request to the DB server 40. Then, the DB server 40 gives a retransmission method inquiry request to the **client** terminal 10. The **client** terminal 10 inquires of the retransmission method of the **stock order**, and returns the result to the DB server 40. Accumulated **stock order** data are **automatically** retransmitted at the time of communication resumption with the host computer 50.

12/5/7 (Item 1 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015960133 **Image available**
WPI Acc No: 2004-117974/200412
XRPX Acc No: N04-094214

Trading method for fixed income securities where server executes trading instruction from anonymous trader while executing second trade to offset first and credit approval is sought in real time

Patent Assignee: GOLDMAN SACHS & CO (GOLD-N)
Inventor: BUCHALTER L
Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 2064	H	20030506	US 2000723409	A	20001128	200412 B

Priority Applications (No Type Date): US 2000723409 A 20001128

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
US 2064	H		G06F-017/60	

Abstract (Basic): US 20640 H

NOVELTY - Data relating to trading a fixed income security is transmitted by server, before sales related information is received, and a live order from an **anonymous trader**, related to received

information is transmitted and a commitment to market liquidity is also provided. A trade instruction is executed with server acting as counterparty to trade. A second trade is executed to offset the first trade, and financial data is sent in real time by **client** web access to credit system for approval.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for:

(1) a computer system for providing fixed income trading via a computerized network,

(2) computer executable program code residing on a computer-readable medium

(3) a method for a **client** to interact with a **network** access device in **order** to complete a fixed income **security transaction**; and

(4) a computer data **signal** embodied in a digital data stream comprising data relating to a fixed income security transaction

USE - Trading fixed income securities such as corporate bonds or municipal bonds (all claimed)

ADVANTAGE - Invention allows direct trading between **anonymous** market **participants** and provides price transparency, as well as a commitment to liquidity.

DESCRIPTION OF DRAWING(S) - The drawing shows a block diagram of the present invention

DwgNo 1/33

Title Terms: TRADE; METHOD; FIX; INCOME; SECURE; SERVE; EXECUTE; TRADE; INSTRUCTION; EXECUTE; SECOND; TRADE; OFFSET; FIRST; CREDIT; APPROVE; REAL; TIME

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/8 (Item 2 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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015951809 **Image available**

WPI Acc No: 2004-109650/200411

XRPX Acc No: N04-087241

Computerized **investment system** for stock brokering, obtains current **price for portfolio from server**, and generates portfolio update and sell signals for investment when investment reaches its sell target

Patent Assignee: AUMAXX PTE LTD (AUMA-N)

Inventor: LIM C Y

Number of Countries: 100 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200408363	A1	20040122	WO 2002SG150	A	20020702	200411 B

Priority Applications (No Type Date): WO 2002SG150 A 20020702

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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WO 200408363	A1	E	19	G06F-017/60	
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Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG US UZ VN YU ZA ZM ZW

Designated States (Regional): AT BE BG CH CY CZ DE DK EA EE ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SK SL SZ TR TZ UG ZM ZW

Abstract (Basic): WO 200408363 A1

NOVELTY - The **client** computer maintains investment portfolio. Each investment in the portfolio has a predetermined sell target. The **client** computer obtains current price for portfolio from a server, and generates a portfolio update and sell **signals** for investment when the investment reaches its sell target. The computer also receives stop-loss **signals** from the server.

USE - Computerized investment system for stock **brokering**, banking and insurance using computing device such as server computer, desktop computer, laptop computer, notebook computer, picket computer, personal digital assistant (PDA) and mobile device.

ADVANTAGE - The selling methodology reduces the emotions of greed and fear, and allows the investments within the portfolio to be sold, for profit whenever possible, thereby providing a gain.

DESCRIPTION OF DRAWING(S) - The figure shows the flowchart illustrating the investment process.

pp; 19 DwgNo 2/4

Title Terms: COMPUTER; INVESTMENT; SYSTEM; STOCK; OBTAIN; CURRENT; PRICE; PORTFOLIO; SERVE; GENERATE; PORTFOLIO; UPDATE; SELL; **SIGNAL**; INVESTMENT; INVESTMENT; REACH; SELL; TARGET

Derwent Class: T01; T05

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/9 (Item 3 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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015902821 **Image available**

WPI Acc No: 2004-060661/200406

Related WPI Acc No: 2004-051945; 2004-060662; 2004-060663; 2004-061042; 2004-061045; 2004-061344; 2004-070192; 2004-070194; 2004-081106

XRPX Acc No: N04-049104

Electronic securities transactions **apparatus stores security trade matching events in first-in-first-out queue maintained in non-volatile memory**

Patent Assignee: FRIEDMAN B E (FRIE-I); HUGHES J T (HUGH-I)

Inventor: FRIEDMAN B E; HUGHES J T

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030225672	A1	20031204	US 2002385979	P	20020605	200406 B
			US 2002385988	P	20020605	
			US 2002206150	A	20020725	

Priority Applications (No Type Date): US 2002206150 A 20020725; US 2002385979 P 20020605; US 2002385988 P 20020605

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20030225672	A1		9	G06F-017/60	Provisional application US 2002385979

Provisional application US 2002385988

Abstract (Basic): US 20030225672 A1

NOVELTY - A queue maintained in a non-volatile memory such as a magnetic disk drive, stores security trade events that **signals** a matching process (104) that matches orders or quotes to complete a security transaction.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the

following:

- (1) securities processor; and
- (2) securities transaction method.

USE - Used in **stock** market for **electronic** based **securities transaction**.

ADVANTAGE - The security trade events can be processed faster while ensuring that no events are lost due to power loss, processing error, or communication failure.

DESCRIPTION OF DRAWING(S) - The figure shows a block diagram of the securities transactions executing system.

securities processor (100)
matching queue (102)
matching process (104)
order entry module (106)
quote entry module (108)
supervisory module (110)
market **participants** (114)
network (124)
server (128)
pp; 9 DwgNo 1/2

Title Terms: ELECTRONIC; SECURE; TRANSACTION; APPARATUS; STORAGE; SECURE;
TRADE; MATCH; EVENT; FIRST; FIRST; QUEUE; MAINTAIN; NON; VOLATILE; MEMORY
Derwent Class: T01; T05
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/10 (Item 4 from file: 350)

DIALOG(R) File 350:Derwent WPIX
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015831480 **Image available**
WPI Acc No: 2003-893684/200382

Real time processing system and method for stock trade order linked to transaction timing over Internet

Patent Assignee: KIWOOM.COM SECURITIES CO LTD (KIWO-N)

Inventor: KIM D W

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
KR 2003063587	A	20030731	KR 20023789	A	20020123	200382 B

Priority Applications (No Type Date): KR 20023789 A 20020123

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
KR 2003063587	A		1 G06F-017/60	

Abstract (Basic): KR 2003063587 A

NOVELTY - A real time stock trade order process system and method is provided to analyze a stock trade, and to perform a real time process for a stock trade order.

DETAILED DESCRIPTION - The system comprises a trade timing calculator(71), a timing matcher(72), a stock trade site linker(73), an order window display(74), a **customer** order confirmation module(75), and a trade execution module(76). The trade timing calculator(71) calculates a stock trade timing based on the stock market data offered by a stock data analyzer. The timing matcher(72) matches the calculated stock trade timing with the stock data ordered by a **user**. The stock trade site linker(73) links to a stock trade company site which the **user** subscribes for. The order window display(74) displays the order

window of the linked stock trade company site. The **customer** order confirmation module(75) checks whether the **user** sends a stock trade order **signal** via the order window. The trade execution module(76) executes the ordered stock trade according to the stock trade order **signal** from the **user** .

USE - Stock trading.

DESCRIPTION OF DRAWING(S) - The drawing shows a diagram of the system.

pp; 1 DwgNo 1/10

Title Terms: REAL; TIME; PROCESS; SYSTEM; METHOD; STOCK; TRADE; ORDER; LINK ; TRANSACTION; TIME

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/11 (Item 5 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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015682495 **Image available**

WPI Acc No: 2003-744684/200370

XRPX Acc No: N03-596444

Service provision method in Internet based commercial services, involves fulfilling service partially by initial responding peer and requesting other peer to complete the remaining services

Patent Assignee: INTEL CORP (ITLC)

Inventor: MANDERA S H

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030139934	A1	20030724	US 200127440	A	20011220	200370 B

Priority Applications (No Type Date): US 200127440 A 20011220

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
US 20030139934	A1	15	G06F-017/60	

Abstract (Basic): US 20030139934 A1

NOVELTY - A server (110) has a register (155) to store the list of available services and list of identifiers of corresponding peers which provides service to a requesting peer (115) through the Internet (140). The request is partially fulfilled by the responding peer (120) and request for completing the remaining service is forwarded to the responding peer (130).

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

- (1) data structure for service provision;
- (2) response data structure stored on machine readable medium;
- (3) **signal** bearing structure stored on machine readable medium;
- (4) **signal** bearing medium storing service instructions; and
- (5) business service providing apparatus.

USE - For providing various **online** services such a **stock transaction** , banking service using portable computer, pager, cellular phone, personal digital assistant (PDA),pocket/laptop computer through **Internet** , local area **network** (LAN), wide area network (WAN).

ADVANTAGE - Enables maintaining the service continuity even in case of service interruption due to provision of partition based service execution among the responding peers.

DESCRIPTION OF DRAWING(S) - The figure shows the functional block

diagram of service providing network.

server (10)
requesting peer (115)
responding peers (120,130)
Internet (140)
register (155)
pp; 15 DwgNo 1/6

Title Terms: SERVICE; PROVISION; METHOD; BASED; COMMERCIAL; SERVICE;
SERVICE; INITIAL; RESPOND; PEER; REQUEST; PEER; COMPLETE; REMAINING;
SERVICE

Derwent Class: T01; W01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/12 (Item 6 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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015649401 **Image available**

WPI Acc No: 2003-711584/200367

XRPX Acc No: N03-569130

Anonymous transaction conducting method for online shopping, involves
permitting client to access transaction vendors, using personal
identification number of client through proxy

Patent Assignee: WICZKOWSKI F T (WICZ-I)

Inventor: WICZKOWSKI F T

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030163413	A1	20030828	US 200285351	A	20020228	200367 B

Priority Applications (No Type Date): US 200285351 A 20020228

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20030163413	A1	18	G06F-017/60		

Abstract (Basic): US 20030163413 A1

NOVELTY - A personal purchasing identification number is assigned to client corresponding to transaction session. A communication is established using the identification number, through a proxy to permit the client to access transaction vendors **anonymously**. The payment for the transaction is made to the proxy by client and the payment to the vendor is confirmed from the proxy.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

(1) **anonymous** transaction provision method; and

(2) secure **anonymous** transaction system.

USE - For conducting secure **anonymous** transaction such as electronic payment processing, order fulfillment, browsing, shopping and purchasing through open network such as internet.

ADVANTAGE - Since the **transaction** vendors are accessed through the proxy, the misuse of the customer's identity is prevented, thereby improving the overall **security** of customers performing **transactions** through **internet**. Also eliminates customer's risk of identity fraud by limiting number of locations for storing customer's personal information and limiting duration for purchasing goods using credit card.

DESCRIPTION OF DRAWING(S) - The figure shows the hierarchical structure of components of secure **anonymous** transaction engine.

pp; 18 DwgNo 1/3
Title Terms: TRANSACTION; CONDUCTING; METHOD; SHOPPING; PERMIT; CLIENT;
ACCESS; TRANSACTION; VENDING; PERSON; IDENTIFY; NUMBER; CLIENT; THROUGH
Derwent Class: T01; T05
International Patent Class (Main): G06F-017/60
File Segment: EPI

12/5/13 (Item 7 from file: 350)
DIALOG(R) File 350:Derwent WPIX
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015575155
WPI Acc No: 2003-637312/200361
XRPX Acc No: N03-507038

**Global consumer funds management update service for portfolio management
has active/passive intelligent client that requests update data,
initiates handshake and login to FM update service to receive financial
position data**

Patent Assignee: WALDEN M D J (WALD-I)
Inventor: WALDER M D J
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
AU 200215454	A	20030814	AU 200215454	A	20020207	200361 B

Priority Applications (No Type Date): AU 200215454 A 20020207

Patent Details:
Patent No Kind Lan Pg Main IPC Filing Notes
AU 200215454 A 30 G06F-017/60

Abstract (Basic): AU 200215454 A

NOVELTY - The Internet application has a graphics **user** interface with scripting features that are automated by timer, volume, and click of a button. An **user** friendly interface panel allows **users** to manage their managed funds portfolio. The service provides up to the minute financial information statistics with regard to the customers portfolio current financial market position. The service also gives tutorial support for all fields with field information and how it relates to the application and provides **alerts** for price/portfolio movements via an **alerts** box. the application operational overview is as follows: an active/passive intelligent **client** initiates handshake with the Funds Management (FM) update service and requests updated data. The FM update service application script then interrogates the FM update data providers. The application script drives a login script to the FM update service, where upon the application receives data from Browser and updates financial position and watch-list details

USE - Global consumer funds management **Internet** update service that allows consumers to manage their managed funds portfolio. The consumers may include customers of E-commerce **securities** firms who distribute to customers on commission, e-commerce **web** sites and customers of the global home managed funds **trading** market.

ADVANTAGE - Provides an efficient service system that allows consumers to manage their investment market funds portfolio in a secure and **user** friendly way, while reducing the load on both the communication infrastructure pathways and the consumer interactive workload.

pp; 30 DwgNo 0/1
Title Terms: GLOBE; CONSUME; FUND; MANAGEMENT; UPDATE; SERVICE; PORTFOLIO;
MANAGEMENT; ACTIVE; PASSIVE; INTELLIGENCE; **CLIENT** ; REQUEST; UPDATE;

DATA; INITIATE; HANDSHAKE; FM; UPDATE; SERVICE; RECEIVE; FINANCIAL;
POSITION; DATA
Derwent Class: T01; T05
International Patent Class (Main): G06F-017/60
File Segment: EPI

12/5/14 (Item 8 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015489563 **Image available**
WPI Acc No: 2003-551710/200352

Device and method for displaying sale of cyber stock exchanging system
Patent Assignee: YANG Y C (YANG-I)
Inventor: YANG Y C
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
KR 2003027132	A	20030407	KR 200156308	A	20010912	200352 B

Priority Applications (No Type Date): KR 200156308 A 20010912
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
KR 2003027132	A		1	G06F-017/60	

Abstract (Basic): KR 2003027132 A

NOVELTY - A device and method for displaying a sale of a cyber stock exchanging system is provided to enable an **investor** to order a stock for a sale without calculating a price and the total sale amount of money by recognizing all prices of a corresponding item on a sale screen for a cyber stock exchange and automatically inputting a purchase amount and a unit purchase price on a sale input space according as a specific cell on a matrix is selected.

DETAILED DESCRIPTION - When a private emulator installed in a **client** PC or a **web** browser is executed, the **client** PC connects to a main server of each **security** corporation through a communication **network** (S1). If a **user** selects a sale **order** screen, a sale **order** screen is displayed(S2). If the **user** selects a matrix button for recognizing a **stock** price/sale amount/total sale price list(S3), the **client** PC outputs an item number, an account number, and a calculation execution key **signal** to the main server(S4). If a matrix key **signal** is inputted(S5), the main server judges whether a possession amount of a corresponding item exists(S6). If the possession amount exists, the current price list form the maximum price to the minimum price is calculated based on a standard price of the corresponding item(S7). Each current price is compared with the standard price on the current price list, and each ups and downs rate according to each minimum price is calculated(S8). Each ups and downs range according to each minimum price is calculated by subtracting the standard price from each current price. A possession amount of a corresponding stock possessed by the **user** is divided, and a sale amount list is calculated. The total sale amount of money list is calculated by multiply each current price by a sale available amount on a stock price list. The main server outputs the stock price list, the sale amount list, and the total amount of money list calculation result to the **client** PC. The **client** PC displays the inputted calculation result. If the **user** clicks twice a specific cell on the matrix, a sale amount and the current price are inputted automatically. If the **user** presses an order button, the inputted sale amount and current price are output to the main server.

pp; 1 DwgNo 1/10
Title Terms: DEVICE; METHOD; DISPLAY; SALE; STOCK; EXCHANGE; SYSTEM
Derwent Class: T01
International Patent Class (Main): G06F-017/60
File Segment: EPI

12/5/15 (Item 9 from file: 350)
DIALOG(R) File 350:Derwent WPIX
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015430429 **Image available**
WPI Acc No: 2003-492571/200346
Related WPI Acc No: 2001-225709
XRPX Acc No: N03-391265

**Fractional interest valuation method in online financial transaction,
involves regulating valuation of fractional interest components related
to contingency and non-contingency groups using control program**

Patent Assignee: GRAFF R A (GRAF-I)

Inventor: GRAFF R A

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20030069817	A1	20030410	US 98145341	A	19980901	200346 B
			US 2000742495	A	20001220	

Priority Applications (No Type Date): US 98145341 A 19980901; US 2000742495
A 20001220

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20030069817	A1	403	G06F-017/60		Cont of application US 98145341 Cont of patent US 6167384

Abstract (Basic): US 20030069817 A1

NOVELTY - A group of input parameters is converted into digital **signals** and input into a digital computer. The fractional interest components related to a property or real estate are valued using the digital **signals** and control program. The valuation is controlled, according to the contingent and non-contingent interest groups.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the following:

(1) financial analysis method for computer based fractional interest valuation;

(2) system based purchase price analysis method; and

(3) financial documentation method.

USE - For determining fractional interest values related to **securities**, real estate, taxation and lending of properties offered by financial institutions like insurance companies in computer based **online financial transactions**.

ADVANTAGE - Protects the **investors** /lenders from economic loss by evaluating the fractional interest correctly, according to contingency periods. Enables providing proper support to different transactions due to effective decomposition of equity interests, thereby potential **investors** /lenders are identified easily.

DESCRIPTION OF DRAWING(S) - The figure shows a graphic representation of separated purchase transaction.

pp; 403 DwgNo 1/6

Title Terms: FRACTION; INTEREST; VALUE; METHOD; FINANCIAL; TRANSACTION;
REGULATE; VALUE; FRACTION; INTEREST; COMPONENT; RELATED; NON; GROUP;
CONTROL; PROGRAM

Derwent Class: T01
International Patent Class (Main): G06F-017/60
File Segment: EPI

12/5/16 (Item 10 from file: 350)

DIALOG(R)File 350:Derwent WPIX
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015354973 **Image available**
WPI Acc No: 2003-415911/200339
Related WPI Acc No: 2003-341197; 2003-380368
XRPX Acc No: N03-331420

Security certificates generation method for hire vehicles, involves
notifying local user of expiring policy from list of expiring policies
requiring action and electronically ordering required certificates

Patent Assignee: ACE LTD (ACEA-N)
Inventor: CHAPMAN E; CHU P; DEAN L M; ISHERWOOD K L
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 6526386	B1	20030225	US 99329660	A	19990610	200339 B

Priority Applications (No Type Date): US 99329660 A 19990610

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 6526386	B1	15	G06F-017/60		

Abstract (Basic): US 6526386 B1

NOVELTY - The expiring policies stored in a central computer, are automatically **flagged** to generate a list of expiring policies. A local **user** selects one of the expiring policies, requiring action by the local **user** and is notified to receive instructions. A cancellation certificate, a renewal certificate and proof of insurance are electronically ordered and printed in accordance with the received instructions.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for cancellation certificate generation system.

USE - For generating security certificates such as cancellation certificates, renewal certificates and proof of insurance for hire vehicles, from remote computer connected to central computer.

ADVANTAGE - Allows an insurance agent to generate car insurance certificates with minimum of interaction with insurance personnel.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of hire vehicles insurance certificates generation system.

pp; 15 DwgNo 1/10

Title Terms: SECURE; CERTIFY; GENERATE; METHOD; HIRE; VEHICLE; NOTIFICATION
; LOCAL; **USER** ; EXPIRE; LIST; EXPIRE; REQUIRE; ACTION; ELECTRONIC; ORDER
; REQUIRE; CERTIFY

Derwent Class: T01
International Patent Class (Main): G06F-017/60
File Segment: EPI

12/5/17 (Item 11 from file: 350)

DIALOG(R)File 350:Derwent WPIX
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015250872 **Image available**
WPI Acc No: 2003-311798/200330

XRPX Acc No: N03-248252

Trading activity sponsorship provision method through electronic communication network, involves receiving designation of third party as sponsor for specified trade, after which specified trade is executed

Patent Assignee: GREIFELD R (GREI-I); HYNDMAN B K (HYND-I); SCHENKMAN R D (SCHE-I); BRUT ECN LLC (BRUT-N)

Inventor: GREIFELD R; HYNDMAN B K; SCHENKMAN R D

Number of Countries: 100 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20020198815	A1	20021226	US 2001893330	A	20010626	200330 B
WO 200303142	A2	20030109	WO 2002US13760	A	20020429	200330

Priority Applications (No Type Date): US 2001893330 A 20010626

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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US 20020198815	A1		20	G06F-017/60	
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WO 200303142	A2	E		G06F-000/00	
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Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG UZ VN YU ZA ZM ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZM ZW

Abstract (Basic): US 20020198815 A1

NOVELTY - An institution is enabled to access the electronic communication network (ECN) (100). A specification of a trade to be executed and a designation of a third party as a sponsor for the specified trade, are received from the institution, after which the specified trade is executed.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the following:

- (1) electronic communication network system; and
- (2) electronic communication network support application.

USE - For providing sponsorship of **trading** activity by institutions such as mutual funds, banks, insurance companies, asset managers, pension plans, hedge funds, etc., for **buying** and **selling securities** e.g. **stocks**, futures, options, commodities, etc., on an **electronic communication network** (ECN).

ADVANTAGE - Enables direct entry of orders to buy and sell securities, **anonymous** order display and order routing. Enables to receive quality non trade-related services.

DESCRIPTION OF DRAWING(S) - The figure shows a network diagram of the ECN client-server environment.

electronic communication network (100)

pp; 20 DwgNo 1/10

Title Terms: TRADE; ACTIVE; PROVISION; METHOD; THROUGH; ELECTRONIC;

COMMUNICATE; NETWORK; RECEIVE; DESIGNATED; THIRD; PARTY; SPECIFIED; TRADE ; AFTER; SPECIFIED; TRADE; EXECUTE

Derwent Class: T01

International Patent Class (Main): G06F-000/00; **G06F-017/60**

File Segment: EPI

12/5/18 (Item 12 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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015139258 **Image available**
WPI Acc No: 2003-199785/200319
XRPX Acc No: N03-158989

Active data warehousing method for electronic trading, involves checking debt note sent by customer and sending invoice from supplier, after outbound notice is received by customer

Patent Assignee: SHENDA COMPUTER CO LTD (SHEN-N); MITAC INT CORP (MITA-N)
Inventor: CHIEN C

Number of Countries: 003 Number of Patents: 003

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20020174032	A1	20021121	US 2002123809	A	20020416	200319 B
JP 2003030505	A	20030131	JP 2002112385	A	20020415	200319
TW 511009	A	20021121	TW 2001111903	A	20010518	200353

Priority Applications (No Type Date): TW 2001111903 A 20010518

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20020174032	A1		6	G06F-017/60	
JP 2003030505	A		8	G06F-017/60	
TW 511009	A			G06F-017/30	

Abstract (Basic): US 20020174032 A1

NOVELTY - A virtual hub sends data regarding quantity of material received to **customer** according to advanced shipping notice. After receiving demand from **customer**, the hub sends material to **customer** and outputs material outbound notice to supplier and **customer**. The supplier checks a debt note sent by the **customer** and finally outputs an invoice to the **customer**.

USE - For electronic trading.

ADVANTAGE - **Triggers** suitable actions **automatically** for improving **stock**, handling material transfer, and processing **order**. Makes the **trade** interactions smoother and easier, by satisfying instant requirements of the supplier, the virtual hub and the **customer**.

DESCRIPTION OF DRAWING(S) - The figure shows the flowchart explaining operations between supplier, virtual hub and **customer**.
pp; 6 DwgNo 2/2

Title Terms: ACTIVE; DATA; WAREHOUSE; METHOD; ELECTRONIC; TRADE; CHECK; NOTE; SEND; **CUSTOMER**; SEND; INVOICING; SUPPLY; AFTER; NOTICE; RECEIVE; **CUSTOMER**

Derwent Class: T01

International Patent Class (Main): G06F-017/30; **G06F-017/60**

International Patent Class (Additional): B65G-061/00; G06F-019/00

File Segment: EPI

12/5/19 (Item 13 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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015125897 **Image available**
WPI Acc No: 2003-186421/200319
XRPX Acc No: N03-146904

High security Internet vendor-purchaser transactions, in which buyer, vendor and account managing third party correspond using identifiers for transaction and vendor

Patent Assignee: MUCASH (MUCAN)

Inventor: BENJELLOUN K; MOUYAL E

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
FR 2826755	A1	20030103	FR 20018739	A	20010629	200319 B

Priority Applications (No Type Date): FR 20018739 A 20010629

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
FR 2826755	A1	20	G06F-017/60	

Abstract (Basic): FR 2826755 A1

NOVELTY - The account corresponding to an account identifier is **anonymous** . In a first stage (a) the sending, by a second equipment (B) to a third equipment (A), of a transaction project is accompanied by the vendors electronic signature. A stage (b) also includes the definition of the transaction identifier by the equipment (A) which sends to the equipment (B) the transaction identifier.

DETAILED DESCRIPTION - Secure method for carrying out remote electronic transactions between a buyer using a data system (C) and a supplier using data equipment (B) with the intervention of a third party manager of accounts using data equipment (A). The method includes the following successive stages:

(a) the equipment (B) sends to equipment (A), without going via (C), a transaction project including a vendors identifier and the transaction price; (A) memorizes the transaction project and its specific identifier; (C) sends to (A) the transaction identifier and an account identifier; (A) subtracts from an account corresponding to the account identifier a sum corresponding to at least a part of the transaction price; (A) confirms that the transaction identifier sent by (C) corresponds to the specific transaction identifier for the transaction project which has been memorized by (A).

USE - For making secure transactions via the Internet..

ADVANTAGE - Designed to reduce possibility of fraud and to ensure effective payment of purchase transactions..

DESCRIPTION OF DRAWING(S) - The drawing illustrates the flow of data between the three parties.

account manager (A)

supplier (B)

purchaser. (C)

pp; 20 DwgNo 1/1

Title Terms: HIGH; SECURE; VENDING; PURCHASE; TRANSACTION; BUY; VENDING;

ACCOUNT; MANAGE; THIRD; PARTY; CORRESPOND; IDENTIFY; TRANSACTION; VENDING

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/20 (Item 14 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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015042292 **Image available**

WPI Acc No: 2003-102808/200309

XRPX Acc No: N03-082144

Computer-based electronic trading system has central controller that matches buy orders and sell orders for respective instruments in price, time priority basis

Patent Assignee: MARKET AXESS INC (MARK-N)

Inventor: FINEBAUM M L; LEVIE B; MURPHY T

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
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US 20020156719 A1 20021024 US 2000249849 P 20001117 200309 B
US 20011921 A 20011115

Priority Applications (No Type Date): US 2000249849 P 20001117; US 20011921
A 20011115

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes
US 20020156719 A1 66 G06F-017/60 Provisional application US 2000249849

Abstract (Basic): US 20020156719 A1

NOVELTY - Several traders enter their trading orders for debt instruments through respective computers, each of which executes a client application. A central controller coupled to the computer, matches buy orders and sell orders for respective debt instruments in a price, time priority basis, and reports all matched orders as executed rates to each of the traders.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the following:

- (1) Computer-based electronic trading method;
- (2) Insurable instrument purchasing method;
- (3) Insurable instrument trading method;
- (4) Insurable instrument trading apparatus;
- (5) Computer-based bond instrument trading method;
- (6) Computer-based bond instrument trading apparatus; and
- (7) Method for transacting in municipal security and transacting for insurance in conjunction with the municipal securities.

USE - Computer-based **electronic trading** system for **trading** debt instruments such as **bonds**.

ADVANTAGE - Allows direct but **anonymous** trading which permits both buyers and seller to see the price at which they trade and avoids the need and cost for intermediary. Enables traders to enter trading orders in a truly **anonymous** manner, thereby providing a bond market that is solely influenced by true market pricing and not by external, non-market influences. Allows the user to interact with any order, manage his own orders in real time and obtain real time information on his orders and trades.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of the electronic trading system.

pp; 66 DwgNo 1/8

Title Terms: COMPUTER; BASED; ELECTRONIC; TRADE; SYSTEM; CENTRAL; CONTROL;
MATCH; BUY; ORDER; SELL; ORDER; RESPECTIVE; INSTRUMENT; PRICE; TIME;
PRIORITY; BASIS

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/21 (Item 15 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014911485 **Image available**

WPI Acc No: 2002-732191/200279

Related WPI Acc No: 2002-667508; 2003-017974; 2003-017977; 2003-266151;
2003-559083; 2003-757083; 2004-043737; 2004-043743; 2004-069808;
2004-071795; 2004-071797; 2004-107478

XRPX Acc No: N02-577340

Computer implemented risk management method for financial institutions, government entities, involves calculating risk quotient by referring structured information and gathered data relating to risk variables

Patent Assignee: JUNNARKAR A (JUNN-I); LAWRENCE D (LAWR-I); GOLDMAN SACHS & CO (GOLD-N)

Inventor: JUNNARKAR A; LAWRENCE D

Number of Countries: 100 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20020138371	A1	20020926	US 2001812627	A	20010320	200279 B
			US 2001919413	A	20010731	
WO 200312589	A2	20030213	WO 2002US24123	A	20020730	200313

Priority Applications (No Type Date): US 2001919413 A 20010731; US 2001812627 A 20010320

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20020138371	A1		14	G06F-017/60	CIP of application US 2001812627
WO 200312589	A2	E		G06F-000/00	

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG UZ VN YU ZA ZM ZW

Designated States (Regional): AT BE BG CH CY CZ DE DK EA EE ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SK SL SZ TR TZ UG ZM ZW

Abstract (Basic): US 20020138371 A1

NOVELTY - Data related to risk variables associated with an online transaction are gathered. The received information relating to details of the online transaction are structured according to risk quotient criteria. A risk quotient is calculated by referring the structured information and the gathered data.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the following:

- (1) Computerized risk management system;
- (2) Computer readable medium storing risk management program;
- (3) Computer data **signal** in digital data stream comprising data relating to risk management; and
- (4) Method of interacting with network access device to manage risk relating to online transaction.

USE - For managing legal, regulatory financial and reputational risks for **online** retailers or wholesalers, individuals, business to business suppliers, government entities, **trading** firms, **online** auctions, bank and non-bank financial institutions including investment banks, merchant banks, commercial banks, **security** firms, asset management companies, hedge funds, mutual funds, credit rating funds, securities exchanges and bourses, institutional and individual **investors**, law firms, accounting firms, auditing firms, etc.

ADVANTAGE - Facilitates analysis and quantification of risk associated with executing online transaction and enables proper management of risk associated with a particular entity or transaction by calculating risk quotient based on gathered risk variables.

DESCRIPTION OF DRAWING(S) - The figure shows the schematic illustration of online transaction risk management system.

pp; 14 DwgNo 2/5

Title Terms: COMPUTER; IMPLEMENT; RISK; MANAGEMENT; METHOD; FINANCIAL; INSTITUTION; GOVERN; ENTITY; CALCULATE; RISK; QUOTIENT; REFER; STRUCTURE; INFORMATION; GATHER; DATA; RELATED; RISK; VARIABLE

Derwent Class: T01; T05

International Patent Class (Main): G06F-000/00; **G06F-017/60**

File Segment: EPI

12/5/22 (Item 16 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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014901262 **Image available**
WPI Acc No: 2002-721968/200278
XRPX Acc No: N02-569243

E-commerce system, uses third party to handle payment and contract relating to transaction between user and service provider

Patent Assignee: TELIA AB (TELI-N)
Inventor: WALLENTIN J; WICKBOM C
Number of Countries: 001 Number of Patents: 002
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
SE 200101985	A	20020515	SE 20011985	A	20010606	200278 B
SE 518229	C2	20020910	SE 20011985	A	20010606	200278

Priority Applications (No Type Date): SE 20004159 A 20001114

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
SE 200101985	A	17	G06F-017/60	
SE 518229	C2		G06F-017/60	

Abstract (Basic): SE 200101985 A

NOVELTY - User (2) connects to telecommunication network (11) via first proxy server (21) which replaces user identification number (2a) with new one (21a). User starts payment session with service provider (3). Service provider contacts third party (4) with information about payment session. Third party draws up contract and sends it to user and service provider for approval. Third party controls payment between user and service provider once service has been delivered.

DETAILED DESCRIPTION - The user (2) connects to the telecommunication network (11) via first proxy server (21) which replaces user identification number (2a) with a new identification number (21a) associated with each communication packet sent by the user. During an initiation stage, the user starts a payment session with the service provider (3), then the service provider contacts a third party (4) with information relating to this payment session, and the third party draws up a contract based on this information, which is sent to the user and service provider for approval. The third party controls payment between the user and service provider once the service has been delivered in accordance with the terms of the contract. The third party sends a copy of the contract to the service provider and sends a further copy of the contract to the user, and the user has to sign the contract after approving it, and then return the signed copy of the contract to the service provider. Finally, the service provider sends the signed contract to the third party.

INDEPENDENT CLAIMS are also included for (a) software products for carrying out the functions for the first proxy server, the service provider, the third party and a second proxy server, and (b) a computer-readable medium containing software program code used to carry out the functions for the service provider, the third party and a second proxy server.

USE - E-commerce system using third party to handle payment.

ADVANTAGE - The system can handle both large payments and so-called micropayments between a user and one or more different service providers. The user can pay using an account method or implicit payments without having to give personal information to the service provider. The system also offers good **security** to a service provider dealing with an **unknown** user. Unauthorized use of the user's identity for **electronic transactions** is prevented. The system is invisible

to the user and service provider following initiation.

DESCRIPTION OF DRAWING(S) - Figure 1 shows a schematic view of the e-commerce system.

E-commerce system (1)
User (2)
Identification number (2a)
Service provider (3)
Third party (4)
Economic entity (5)
Telecommunication network (11)
Proxy server (21)
Identification number (21a)
Payment unit (22)
User account (42)
Service provider account (43)
pp; 17 DwgNo 1/4

Title Terms: SYSTEM; THIRD; PARTY; HANDLE; PAY; CONTRACT; RELATED;

TRANSACTION; USER; SERVICE

Derwent Class: T01; T05; W01

International Patent Class (Main): G06F-017/60

International Patent Class (Additional): G07F-019/00

File Segment: EPI

12/5/23 (Item 17 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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014900444 **Image available**

WPI Acc No: 2002-721150/200278

Realty investment and transaction service system based on network

Patent Assignee: KIM K (KIMK-I)

Inventor: KIM K

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
KR 2002042074	A	20020605	KR 200071804	A	20001130	200278. B

Priority Applications (No Type Date): KR 200071804 A 20001130

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
KR 2002042074	A	1	G06F-017/60	

Abstract (Basic): KR 2002042074 A

NOVELTY - A system for a realty investment and a **transaction** service based on a **network** is provided to make an **investor** invest in the realty by a share and a **bond** format on an on-line mode by valuating and registering the undeveloped realty goods explored by the realty managers.

DETAILED DESCRIPTION - The system comprises a communication network(10), the realty manager computers(20), the **investor** computers(30) and a server computer(40). The server computer outputs the form data to the realty manger computers by receiving the realty registration request **signal** from the realty manager, registers the detail of the realty and the data necessary to the valuation inputted by the manager to a database, outputs a list of the registered realties to the **investor** computer, stores the realty selection data and the invest data inputted by the **investor** in the database, provides the invest from the **investors** to the realty manager, and divides the share or bond of the realty selected by the realty manager to each

investor .

pp; 1 DwgNo 1/10

Title Terms: INVESTMENT; TRANSACTION; SERVICE; SYSTEM; BASED; NETWORK

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/24 (Item 18 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014831045 **Image available**

WPI Acc No: 2002-651751/200270

XRPX Acc No: N02-516343

Electronic stock transaction system through internet , transmits warning signal demanding verification to customer 's computer and worker's computer, when wrong input is made from customer side based on setting conditions

Patent Assignee: KAKU S (KAKU-I)

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
JP 2002236828	A	20020823	JP 200135195	A *	20010213	200270 B

Priority Applications (No Type Date): JP 200135195 A 20010213

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
JP 2002236828	A	5	G06F-017/60	

Abstract (Basic): JP 2002236828 A

NOVELTY - A transmitter transmits a warning signal demanding the verification to a customer side computer system and to a security worker side computer system, when there is an input mistake from the customer side computer system based on the setting conditions.

USE - For electronic stock transaction through internet .

ADVANTAGE - Transaction is performed safely without any error.

DESCRIPTION OF DRAWING(S) - The figure shows the flowchart explaining the electronic stock order transaction process.
(Drawing includes non-English language text).

pp; 5 DwgNo 1/5

Title Terms: ELECTRONIC; STOCK; TRANSACTION; SYSTEM; THROUGH; TRANSMIT;

WARNING ; SIGNAL ; DEMAND; VERIFICATION; CUSTOMER ; COMPUTER; WORK;

COMPUTER; WRONG; INPUT; MADE; CUSTOMER ; SIDE; BASED; SET; CONDITION

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/25 (Item 19 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014761810

WPI Acc No: 2002-582514/200262

XRPX Acc No: N02-461910

Online trading system for casino games, transmits signal with activation of buy / sell indicator to buy / sell stocks , to server, and displays received purchase/ selling price of stock and changing value of stock with time

Patent Assignee: GFL GLOBAL FINANCING LTD (GFLG-N); ADAO E SILVA P A (SILV-I); HOWARD R I (HOWA-I)

Inventor: ADAO E SILVA P A; HOWARD R I; ADAO E SILVA B C P A

Number of Countries: 097 Number of Patents: 003

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20020069152	A1	20020606	US 2000736939	A	20001214	200262 B
WO 200248945	A1	20020620	WO 2001US48831	A	20011213	200262
AU 200230974	A	20020624	AU 200230974	A	20011213	200267

Priority Applications (No Type Date): US 2000736939 A 20001214

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
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US 20020069152	A1	12	G06F-017/60	
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WO 200248945	A1 E		G06F-017/60	
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Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZM ZW

AU 200230974	A		G06F-017/60	Based on patent WO 200248945
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Abstract (Basic): US 20020069152 A1

NOVELTY - A terminal transmits a **signal** with the activation of a buy or sell indicator, to buy or sell specified amount of stock to a server and displays received purchase or selling price of the stock. The terminal periodically updates the changing value of the stock with time and indicates the money available for the purchase. The server processes the received buy and sell orders on behalf of terminal **user**.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is included for stocks buying and selling method.

USE - For performing trading by buying and selling stocks for computer game, casino game, horse racing and other sports betting.

ADVANTAGE - The decisions of buying and selling stocks are activated, by clicking the respective buttons on the screen. The present status of the stock is also displayed, thereby making the trading convenient, easy and simple. The fun and excitement of the game is achieved. Eliminates the need for a **brokerage** house to execute transaction.

pp; 12 DwgNo 0/5

Title Terms: TRADE; SYSTEM; CASINO; GAME; TRANSMIT; **SIGNAL** ; ACTIVATE; BUY ; SELL; INDICATE; BUY; SELL; STOCK; SERVE; DISPLAY; RECEIVE; PURCHASE;

SELL; PRICE; STOCK; CHANGE; VALUE; STOCK; TIME

Derwent Class: T01; T05; W04

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/26 (Item 20 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014713845 **Image available**

WPI Acc No: 2002-534549/200257

Method for automatically transacting stock on internet

Patent Assignee: YES LTD STOCK CO (YESS-N)

Inventor: DOKGO J; JUNG S G

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
KR 2002011055	A	20020207	KR 200044444	A	20000731	200257 B

Priority Applications (No Type Date): KR 200044444 A 20000731

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
KR 2002011055	A	1	G06F-017/60	

Abstract (Basic): KR 2002011055 A

NOVELTY - An **automatic stock transaction** method is provided to receive real time **stock** informations on the **internet** and generate a **stock transaction** index for determining a **stock transaction** time.

DETAILED DESCRIPTION - The method comprises steps of driving a trading task(406), detecting if a request **signal** for changing interest items is transmitted from a **user** interface(408), changing a list of the interest items in the case that the item change request **signal** is transmitted(410), detecting if a request **signal** for changing an order/contract is transmitted(412), changing the order/contract in the case that the order change request **signal** is transmitted(414), detecting if a request **signal** for changing an index attribute is transmitted(416), changing the index attribute in the case that the index attribute change request **signal** is transmitted(418), detecting if a request **signal** for changing a system trading is transmitted(420), and changing the system trading in the case that the system trading change request **signal** is transmitted(422).

pp; 1 DwgNo 1/10

Title Terms: METHOD; AUTOMATIC; STOCK

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/27 (Item 21 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014675954 **Image available**

WPI Acc No: 2002-496658/200253

XRPX Acc No: N02-393222

Transaction security provision method for on - line shopping, involves assigning recognition mark to each user web sites and outputs warning if recognition mark is not present in purchase applications

Patent Assignee: TOKYO ELECTRIC CO LTD (TODK)

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
JP 2002163574	A	20020607	JP 2000358030	A	20001124	200253 B

Priority Applications (No Type Date): JP 2000358030 A 20001124

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
JP 2002163574	A	10	G06F-017/60	

Abstract (Basic): JP 2002163574 A

NOVELTY - A recognition mark is assigned to web site of **users** to authenticate the **users** while shopping. When a **user** needs to purchase goods, the authentication server checks for the recognition mark in the application for purchase and if not present, a **warning**

signal is output.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the following:

- (1) Goods transaction security providing program; and
- (2) Storage medium storing goods transaction security providing program.

USE - For providing **transaction security** to purchasers in **on - line** shopping through **internet**.

ADVANTAGE - Each **user** is authenticated by using recognition mark, hence only registered **users** are allowed to perform shopping, thus reliable security is assured.

DESCRIPTION OF DRAWING(S) - The figure shows the flowchart explaining the steps involved in the security provision. (Drawing includes non-English language text).

pp; 10 DwgNo 4/4

Title Terms: TRANSACTION; SECURE; PROVISION; METHOD; LINE; SHOPPING; ASSIGN
; RECOGNISE; MARK; **USER** ; WEB; SITE; OUTPUT; **WARNING** ; RECOGNISE; MARK;
PRESENT; PURCHASE; APPLY

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/28 (Item 22 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014614416 **Image available**

WPI Acc No: 2002-435120/200246

XRPX Acc No: N02-342530

**Credit limit tracking method for tenors of financial instruments,
involves assigning proportional draw down relation between buckets
associated with tenors and recalculating proportional draw down relation**

Patent Assignee: ICOR BROKERAGE INC (ICOR-N)

Inventor: CHRISS N; GAGNE D; HANDA M; LARSEN J; TARI M J

Number of Countries: 094 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200225546	A1	20020328	WO 2001US29126	A	20010919	200246 B
AU 200192736	A	20020402	AU 200192736	A	20010919	200252

Priority Applications (No Type Date): US 2000665305 A 20000919

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200225546 A1 E 37 G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS
JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL
PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

AU 200192736 A G06F-017/60 Based on patent WO 200225546

Abstract (Basic): WO 200225546 A1

NOVELTY - Several buckets are defined, for which several tenors are associated. A proportional draw down relation is assigned between the defined buckets. A **signal** including a trade tenor and a trade amount, associated with a trade action, is received. The proportional draw down relation is recalculated as a function of trade amount and trade tenor, based on the received **signal**.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

(a) Financial instrument trade method;

(b) Credit limit tracking system

USE - For **electronic trading of financial instruments** .

ADVANTAGE - The credit limits for multiple tenors are easily related by the **users** .

DESCRIPTION OF DRAWING(S) - The figure shows a schematic diagram of credit relationship between trading organizations.

pp; 37 DwgNo 1/11

Title Terms: CREDIT; LIMIT; TRACK; METHOD; FINANCIAL; INSTRUMENT; ASSIGN; PROPORTION; DRAW; DOWN; RELATED; BUCKET; ASSOCIATE; PROPORTION; DRAW; DOWN; RELATED

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/29 (Item 23 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014551462 **Image available**

WPI Acc No: 2002-372165/200240

XRPX Acc No: N02-290824

Electronic anonymous negotiation and execution of equity block trades for institutional investors based on trading information entered into system by broker intermediary participants

Patent Assignee: SHAW & CO INC D E (SHAW-N); GIANAKOUROS N B (GIAN-I); SHAW D E (SHAW-I)

* Inventor: GIANAKOUROS N B; **SHAW D E** ; GIANAKOUROS N P

* Number of Countries: 097 Number of Patents: 003

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200227606	A2	20020404	WO 2001US29964	A	20010926	200240 B
US 20020055901	A1	20020509	US 2000234927	A	20000926	200240
			US 2001962242	A	20010926	
AU 200193071	A	20020408	AU 200193071	A	20010926	200252

Priority Applications (No Type Date): US 2000234927 P 20000926; US 2001962242 A 20010926

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200227606 A2 E 50 G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PH PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

US 20020055901 A1 G06F-017/60 Provisional application US 2000234927

AU 200193071 A G06F-017/60 Based on patent WO 200227606

Abstract (Basic): WO 200227606 A2

NOVELTY - After receiving block-size agency orders from institutional **clients** , sponsoring **brokers** enter corresponding trading **alerts** into the system via web-based **broker** graphical **user** interfaces (GUI) and the **clients** monitor and modify trading **alerts** via their own GUIs. The system continually evaluates **alerts** for

possible trading opportunities and facilitates manual negotiation or automatic execution if offsetting **alerts** are found, while immediately reporting all resulting **alerts** to **users** and to the consolidated tape.

DETAILED DESCRIPTION - AN INDEPENDENT CLAIM is included for a computer system for trading financial instruments.

USE - **Electronic** negotiation and execution of block-size **trades** in **financial instruments**.

DESCRIPTION OF DRAWING(S) - The drawing shows the system.
pp; 50 DwgNo 1/5

Title Terms: ELECTRONIC; NEGOTIATE; EXECUTE; BLOCK; BASED; TRADE;

INFORMATION; ENTER; SYSTEM; INTERMEDIARY; PARTICIPATING.

Derwent Class: T01; T05

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/30 (Item 24 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014527878 **Image available**

WPI Acc No: 2002-348581/200238

Apparatus and method for displaying multi-function of cyber securities exchange system

Patent Assignee: SAMSUNG SECURITIES CO LTD (SMSU)

Inventor: PARK J H

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
KR 2001065033	A	20010711	KR 9959595	A	19991221	200238 B

Priority Applications (No Type Date): KR 9959595 A 19991221

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
KR 2001065033	A	1	G06F-017/60	

Abstract (Basic): KR 2001065033 A

NOVELTY - An apparatus and a method for displaying multi-function of a cyber securities change system are provided to enable each cyber securities change **user** to rapidly obtain stock information by enabling **users** who confirm data displayed on a notice board of an exclusive-use emulator or each securities firm web page to display evaluation marks estimated.

DETAILED DESCRIPTION - An exclusive-use emulator or a **web** browser is installed in a plurality of **client** PCs(10(1),...,10(N)) in **order** to perform a cyber **securities transaction** through a communication **network** (20). In case that each **user** selects a notice board among a plurality of menus, a notice board selection **signal** is outputted to a main server(30). A plurality of display data including evaluation marks are inputted from the main server(30). A plurality of **client** PCs(10(1),...,10(N)) display a plurality of display data including the evaluation marks on a notice board window.

pp; 1 DwgNo 1/10

Title Terms: APPARATUS; METHOD; DISPLAY; MULTI; FUNCTION; SECURE; EXCHANGE; SYSTEM

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/31 (Item 25 from file: 350)
DIALOG(R) File 350:Derwent WPIX
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014522369 **Image available**
WPI Acc No: 2002-343072/200238
XRPX Acc No: N02-269823

Computer trading system for foreign exchange and financial instrument , distributes trade related information throughout network using canonical path which is optimal route between two nodes

Patent Assignee: EBS NOMINEES LTD (EBSN-N)
Inventor: HOWORKA E; IACCHEO S; JAIN N; NEYMAN V; SHU J
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
GB 2366020	A	20020227	GB 20011424	A	20010119	200238 B

Priority Applications (No Type Date): US 2000603498 A 20000623

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
GB 2366020	A	71	G06F-017/60	

Abstract (Basic): GB 2366020 A

NOVELTY - The order input devices generate price quotation messages, and transmits trade related information through a communication network. Several nodes (1-7) connected to the network distribute trade information throughout the network through canonical paths. The canonical path which is the optimal route between two nodes, satisfies predetermined conditions.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

- (a) **Anonymous** trading system;
- (b) Electronic trading system

USE - For providing **electronic trading** service for foreign exchange and **financial instruments** such as FX spot, FRA, FX forward, CFD, short-dated government or central bank check, commercial bills, CD, inter bank deposit, commercial paper, interest rate future, swap, option and miscellany of tailor-made variants, etc.

ADVANTAGE - The broker node does not need to know about any broker nodes other than its neighbor node, thus broker nodes are easily added to or removed from the system. As each broker node maintains a full list of order in the market, market views are easily and efficiently customized by the trading agents.

DESCRIPTION OF DRAWING(S) - The figure shows the overview of the computer trading system.

Nodes (1-7)
pp; 71 DwgNo 1/8

Title Terms: COMPUTER; TRADE; SYSTEM; FOREIGN; EXCHANGE; FINANCIAL;
INSTRUMENT; DISTRIBUTE; TRADE; RELATED; INFORMATION; NETWORK; CANONICAL;
PATH; OPTIMUM; ROUTE; TWO; NODE

Derwent Class: T01

International Patent Class (Main): G06F-017/60

International Patent Class (Additional): G06F-013/38

File Segment: EPI

12/5/32 (Item 26 from file: 350)
DIALOG(R) File 350:Derwent WPIX
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014481451 **Image available**
WPI Acc No: 2002-302154/200234

System for transmitting securities through the internet

Patent Assignee: SOFTBRIDGE CO LTD (SOFT-N)

Inventor: EOM M Y; JANG J H

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
KR 2001104800	A	20011128	KR 200025893	A	20000515	200234 B

Priority Applications (No Type Date): KR 200025893 A 20000515

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
KR 2001104800	A	1	G06F-017/60	

Abstract (Basic): KR 2001104800 A

NOVELTY - A system for transmitting **securities** through the **Internet** is provided to supply a valuable unit capable of deciding **transaction** or not objectively and promptly and to perform a **transaction** in a **stock** dealings through the **Internet** .

DETAILED DESCRIPTION - A **client** (2) is a software possessed by an **investor** and may be stored in a PC, or may be stored in additional device capable of performing an information process and a communication. An information providing server(4) provides information related to a stock, specially, stock market conditions information to a transmitting medium system(6) through a network as the Internet and is a database server of a stock computing system. The transmitting medium system(6) transmits the information as the stock market conditions information possessed by the information providing server(4) to the **client** (2). An **investor** checks information transmitted to the **client** (2) through one's PC monitor and decides a trading or not and may request a trading of a specific stock to a server of a security corporation by operating an input device of a PC. The **client** (2) may include a database(12) storing stock related various information, an information processing and analyzing unit(14) for calculating an investing time, a trading **signal** generating unit(16), and a trading robot(10).

pp; 1 DwgNo 1/10

Title Terms: SYSTEM; TRANSMIT; SECURE; THROUGH

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/33 (Item 27 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014402704 **Image available**

WPI Acc No: 2002-223407/200228

Network -based trade system for marketable securities having function of reservation selling and remittance

Patent Assignee: SAMSUNG SECURITIES CO LTD (SMSU)

Inventor: PARK J H

Number of Countries: 001 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
KR 2001097399	A	20011108	KR 200021440	A	20000422	200228 B
KR 365198	B	20021216	KR 200021440	A	20000422	200336

Priority Applications (No Type Date): KR 200021440 A 20000422

Patent Details:

Patent No	Kind	Lang	Pg	Main IPC	Filing Notes
KR 2001097399	A		1	G06F-017/60	
KR 365198	B			G06F-017/60	Previous Publ. patent KR 2001097399

Abstract (Basic): KR 2001097399 A

NOVELTY - A **network**-based **trade** system for marketable **securities** having a function of reservation **selling** and remittance is provided to increase the convenience of a **user** by enabling the **user** to send sale price to a plurality of financial institutions on a day for payment in case that the **user** **sells** all sorts of **securities** on **network** .

DETAILED DESCRIPTION - A communication network(10) connects a communication line between a plurality of **user** computers(20) and a server computer(30). After a plurality of **user** computers(20) connects to the server computer(30), the **user** computers(20) output a **user** 's request **signal** for selling securities to the server computer(30). In addition, a plurality of **user** computers(20) receives and displays a securities sale window outputted from the server computer(30) according to the **user** 's request. A plurality of **user** computers(20) output securities sale data inputted from the **user** to the server computer(30). The server computer(30) periodically updates profitable information according that a plurality of **users** operate a plurality of securities. A plurality of financial institutions(40) sends sale money sent from the server computer(30) to a relevant **user** 's account.

pp; 1 DwgNo 1/10

Title Terms: NETWORK; BASED; TRADE; SYSTEM; MARKET; SECURE; FUNCTION;
RESERVE; SELL

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/34 (Item 28 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014395434 **Image available**

WPI Acc No: 2002-216137/200227

XRPX Acc No: N02-165633

Bid or offer display method for electronic trading system, involves displaying bid/offer from primary to secondary trader, when secondary trader does not select condition that bids/offers should be made unavailable

Patent Assignee: ESPEED INC (ESPE-N); GILBERT A C (GILB-I); GINSBERG P M (GINS-I); LUTNICK H W (LUTN-I)

Inventor: GILBERT A C; GINSBERG P M; LUTNICK H W

Number of Countries: 097 Number of Patents: 006

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20020019799	A1	20020214	US 2000223028	P	20000804	200227 B
			US 2001853430	A	20010510	
WO 200213115	A1	20020214	WO 2001US41525	A	20010802	200227
AU 200183534	A	20020218	AU 200183534	A	20010802	200244
EP 1314122	A1	20030528	EP 2001962341	A	20010802	200336
			WO 2001US41525	A	20010802	
GB 2382902	A	20030611	WO 2001US41525	A	20010802	200339
			GB 20034529	A	20030227	

KR 2003059090 A 20030707 KR 2003701590 A 20030204 200377

Priority Applications (No Type Date): US 2000223028 P 20000804; US
2001853430 A 20010510

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20020019799	A1		18	G06F-017/60	Provisional application US 2000223028

WO 200213115 A1 E G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN
IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ
PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

AU 200183534 A G06F-017/60 Based on patent WO 200213115

EP 1314122 A1 E G06F-017/60 Based on patent WO 200213115

Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
LI LT LU LV MC MK NL PT RO SE SI TR

GB 2382902 A G06F-017/60 Based on patent WO 200213115

KR 2003059090 A G06F-017/60

Abstract (Basic): US 20020019799 A1

NOVELTY - A bid or offer from a primary trader is received and
displayed to the secondary trader, when the secondary trader does not
select the condition that the bids or offers provided by the primary
trader should be made unavailable.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
following:

(a) System for displaying a bid or offer in an electronic trading
system;

(b) System for processing a pending trade

USE - For displaying bid or offer for **trading financial
instruments**, commodities such as **stocks**, **bonds**, currency, oil,
gold, pork bellies, etc., in an **electronic trading** system.

ADVANTAGE - Enables traders to participate in **anonymous** trading
while monitoring their counter party risk, since the bids are displayed
based on condition selected by trader.

DESCRIPTION OF DRAWING(S) - The figure shows a flowchart explaining
process of configuring trader workstations and processing bids and
offers.

pp; 18 DwgNo 4/9

Title Terms: BID; OFFER; DISPLAY; METHOD; ELECTRONIC; TRADE; SYSTEM;
DISPLAY; BID; OFFER; PRIMARY; SECONDARY; SECONDARY; SELECT; CONDITION;
BID; OFFER; MADE; UNAVAILABLE

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/35 (Item 29 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014384979

WPI Acc No: 2002-205682/200226

XRPX Acc No: N02-156651

**System for performing secure and anonymous transactions over a
network with a merchant server offering items for sale, a buyer system
connected to the merchant server by an encrypting security server and a
third delivery server**

Patent Assignee: INCOGNO CORP (INCO-N)

Inventor: BRAGINSKY L; JELLISON D W; MCISAAC J E; ZAND M

Number of Countries: 093 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200175744	A1	20011011	WO 2001US10760	A	20010403	200226 B
AU 200155222	A	20011015	AU 200155222	A	20010403	200226

Priority Applications (No Type Date): US 2001273595 P 20010305; US

2000194346 P 20000403; US 2000251984 P 20001207; US 2000254056 P 20001207

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200175744 A1 E 55 G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT
RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

AU 200155222 A G06F-017/60 Based on patent WO 200175744

Abstract (Basic): WO 200175744 A1

NOVELTY - The merchant and delivery servers are associated with vendors and delivery agents and each is provided with the information it requires to complete a transaction with a buyer initiated from the buyer's system. The security server encrypts and decrypts information to ensure security. Only the information needed by each party is provided to that party.

DETAILED DESCRIPTION - A fourth server may be included for delivery and payment purposes to ensure that payment reaches the vendor. The parties may be identified in the system by hash coding identifying indicia.

INDEPENDENT CLAIMS are included for

(a) a method for performing secure transactions over a network

(b) a method for identifying a party over a network

USE - Performing transactions over, e.g. the Internet.

ADVANTAGE - Greater security provides greater user confidence.

pp; 55 DwgNo 0/11

Title Terms: SYSTEM; PERFORMANCE; SECURE; TRANSACTION; NETWORK; MERCHANT;
SERVE; OFFER; ITEM; SALE; BUY; SYSTEM; CONNECT; MERCHANT; SERVE; SECURE;
SERVE; THIRD; DELIVER; SERVE

Derwent Class: T01; W01

International Patent Class (Main): G06F-017/60

International Patent Class (Additional): H04L-009/00

File Segment: EPI

12/5/36 (Item 30 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014383267 **Image available**

WPI Acc No: 2002-203970/200226

Electronic certificate trading system and control method thereof

Patent Assignee: KIM C H (KIMC-I)

Inventor: KIM C H

Number of Countries: 001 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
KR 2001096330	A	20011107	KR 200020418	A	20000418	200226 B
KR 368498	B	20030124	KR 200020418	A	20000418	200339

Priority Applications (No Type Date): KR 200020418 A 20000418

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
KR 2001096330	A		1	G06F-017/60	
KR 368498	B			G06F-017/60	Previous Publ. patent KR 2001096330

Abstract (Basic): KR 2001096330 A

NOVELTY - An **electronic** certificate trading system and a control method thereof are provided to **trade electronic** certificates, such as, an **electronic stock**, an **electronic** card, etc., through **on - line** and off-line in real time all day long.

DETAILED DESCRIPTION - An input part(101) receives various data from an internal manager(10). The first storing part(102) stores a **user** information inputted from a **user** (20). The second storing part(103) stores an information of an inputted matter to be invested. The third storing part(103) stores other information. A **user** identifying part(105) reads a data stored in the first storing part(102) and identifies whether the current **user** is a member. The first searching part(106) reads a pertinent data stored in the first, second, and third storing parts. The fourth storing part(107) stores a state that an electronic certificate is traded through on-line and off-line. The second searching part(108) reads a data stored in the fourth storing part(107) and transfers the result to an off-line trade system(200) and the **user** (20). A certifying/paying part(109) receives a credit card data from the **user** and performs certification and payment. A message output part(110) outputs a pertinent message according to a control **signal**. A control part(111) controls operations according to a **signal** requested from the **user** (20).

pp; 1 DwgNo 1/10

Title Terms: ELECTRONIC; CERTIFY; TRADE; SYSTEM; CONTROL; METHOD

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/37 (Item 31 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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014334949 **Image available**

WPI Acc No: 2002-155652/200221

XRPX Acc No: N02-118298

Networked electronic device for acquiring updated values of e.g. trading goods, compares new and old values of good and compares difference with user defined threshold, to alert user

Patent Assignee: WEBER M (WEBE-I)

Inventor: WEBER M

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
DE 10004542	A1	20010809	DE 1004542	A	20000202	200221 B

Priority Applications (No Type Date): DE 1004542 A 20000202

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
DE 10004542	A1		5	G06F-017/60	

Abstract (Basic): DE 10004542 A1

NOVELTY - A microcomputer (3) compares the old values of trading

goods, stored in a memory (5) with the new values and compares the difference against **user** defined threshold received through input unit (6) and **alerts** the **user** depending on the result. The microcomputer periodically updates the memory.

USE - **Networked electronic** device for acquiring updated value of **trading** goods, **stocks** and shares using **Internet** and status data of e.g. personal computer, **electronic** notebook, cordless telephone, television, stationary and mobile radio receivers, pocket calculator, multifunctional device such as refrigerator, microwave appliance.

ADVANTAGE - Since **user** is **alerted** automatically, loss is minimized and also reduces monitoring requirement of values by **user** personally.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of the electronic device.

Microcomputer (3)

Memory (5)

Input unit (6)

pp; 5 DwgNo 1/1

Title Terms: ELECTRONIC; DEVICE; ACQUIRE; UPDATE; VALUE; TRADE; GOODS; COMPARE; NEW; VALUE; COMPARE; DIFFER; **USER** ; DEFINE; THRESHOLD; **ALERT** ; **USER**

Derwent Class: T01; W01; W02; W05

International Patent Class (Main): **G06F-017/60**

International Patent Class (Additional): H04M-001/00; H04N-007/08

File Segment: EPI

12/5/38 (Item 32 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014333959

WPI Acc No: 2002-154662/200220

Related WPI Acc No: 2003-102325

XRPX Acc No: N02-117604

Anonymous trading **system** e.g. **electronic brokerage system** for trading financial instruments , has **credit agent node in storage unit, for storing credit limits for group of logically separated trading floors**

Patent Assignee: ELECTRONIC BROKING SERVICES LTD (ELBR-N); EBS NOMINEES LTD (EBSN-N)

Inventor: CRANE A G; GINSBERG P M; HOWORKA E R; IACCHEO S; JAIN N; KRISHNASAMI S; MCPHERSON R S; MEROLD M S; MILLS G D; NEYMAN V; SHU J; HOWORKA E; KRISHNASAMI R; MEROLD M; MILLS G

Number of Countries: 095 Number of Patents: 006

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200201437	A2	20020103	WO 2001IB1468	A	20010622	200220 B
GB 2366023	A	20020227	GB 20011435	A	20010119	200223
AU 200176634	A	20020108	AU 200176634	A	20010622	200235
EP 1295234	A1	20030326	EP 2001954294	A	20010622	200323
			WO 2001IB1468	A	20010622	
ZA 200202217	A	20030827	ZA 20022217	A	20020319	200362
JP 2004502243	W	20040122	WO 2001IB1468	A	20010622	200411
			JP 2002506499	A	20010622	

Priority Applications (No Type Date): US 2000602496 A 20000623

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200201437 A2 E 71 G06F-017/60
 Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
 CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS
 JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL
 PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
 Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
 IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
 GB 2366023 A G06F-017/60
 AU 200176634 A G06F-017/60 Based on patent WO 200201437
 EP 1295234 A1 E G06F-017/60 Based on patent WO 200201437
 Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
 LI LT LU LV MC MK NL PT RO SE SI TR
 ZA 200202217 A 72 G06F-000/00
 JP 2004502243 W 105 G06F-017/60 Based on patent WO 200201437
 Abstract (Basic): WO 200201437 A2

NOVELTY - A storage unit stores credit limits available for traders between a trading floor or group of trading floors and possible counterparty trading floors or groups of trading floors. A credit agent node of the storage unit stores credit limits for a group of logically separated trading floors.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for automated trading system.

USE - **Anonymous trading** system e.g. **electronic** brokerage system for use in **trading financial instruments** such as foreign exchange and forward rate agreements, short-dated government and/or central bank paper, commercial bills, CDs, inter-bank deposits, commercial paper, repos, interest-rate futures, swaps, options and various tailor-made variants.

ADVANTAGE - The use of a credit agent node enables credit for an institution to be handled globally, and provides greater flexibility, and assists in the full utilization of available credit limits during the course of a trading day.

pp; 71 DwgNo 0/11

Title Terms: TRADE; SYSTEM; ELECTRONIC; SYSTEM; TRADE; FINANCIAL;
 INSTRUMENT; CREDIT; AGENT; NODE; STORAGE; UNIT; STORAGE; CREDIT; LIMIT;
 GROUP; LOGIC; SEPARATE; TRADE; FLOOR

Derwent Class: T01

International Patent Class (Main): G06F-000/00; G06F-017/60

File Segment: EPI

12/5/39 (Item 33 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014309345 **Image available**

WPI Acc No: 2002-130048/200217

XRPX Acc No: N02-098093

Trade orders **transmitting method for stocks and currencies,**
involves transmitting trade order to market place automatically
 through online trading account, based on trade decision generated
 by market analysis software

Patent Assignee: GLADSTONE G.D (GLAD-I)

Inventor: GLADSTONE G D

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20020004776	A1	20020110	US 2000216812	P	20000707	200217 B
			US 2000222558	P	20000803	
			US 2001884303	A	20010619	

Priority Applications (No Type Date): US 2001884303 A 20010619; US
2000216812 P 20000707; US 2000222558 P 20000803
Patent Details:
Patent No Kind Lan Pg Main IPC Filing Notes
US 20020004776 A1 9 G06F-017/60 Provisional application US 2000216812

Provisional application US 2000222558

Abstract (Basic): US 20020004776 A1

NOVELTY - The trade **trigger** criteria and the market data are received from **user** by a market analysis software (26). A trade decision is generated using the trade **trigger** criteria and the market data by accessing the market analysis software. A trade order is automatically transmitted to a market place (17) through online trading account (14), based on the trade decision.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for automated system of transmitting trade orders to market place.

USE - For **trading financial instruments** such as **securities , stocks , bonds** and currencies through **online trading account** with financial institution.

ADVANTAGE - Avoids time delays between trade decision and trade execution by automatically converting the trade decision to a trade order, thereby reducing undesirable results due to adverse market price changes. Provides a fail-safe substitute for a **trader** self discipline by automating entry of trade orders.

DESCRIPTION OF DRAWING(S) - The figure shows the symbolic diagram of trade orders transmitting system.

Online trading account (14)

Market place (17)

Market analysis software (26)

pp; 9 DwgNo 1/1

Title Terms: TRADE; ORDER; TRANSMIT; METHOD; STOCK; TRANSMIT; TRADE; ORDER; MARKET; PLACE; AUTOMATIC; THROUGH; TRADE; ACCOUNT; BASED; TRADE; DECIDE; GENERATE; MARKET; ANALYSE; SOFTWARE

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/40 (Item 34 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014301654 **Image available**

WPI Acc No: 2002-122358/200216

XRPX Acc No: N02-091779

Displaying investment trading trends by calculating opening and closing value trends and displaying colors for time intervals based on user profile

Patent Assignee: STOCK DECISION SOFTWARE CO INC (STOC-N); THOMPSON G W (THOM-I)

Inventor: THOMPSON G W

Number of Countries: 095 Number of Patents: 003

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200199015	A2	20011227	WO 2001US19838	A	20010622	200216 B
US 20020026404	A1	20020228	US 2000213576	P	20000622	200220
			US 2001888040	A	20010623	
AU 200170038	A	20020102	AU 200170038	A	20010622	200230

Priority Applications (No Type Date): US 2000213576 P 20000622; US
2001888040 A 20010623

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200199015 A2 E 42 G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS
JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL
PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

US 20020026404 A1 G06F-017/60 Provisional application US 2000213576

AU 200170038 A G06F-017/60 Based on patent WO 200199015

Abstract (Basic): WO 200199015 A2

NOVELTY - Method consists in receiving investment opening and closing values for different time intervals, calculating the opening and closing value trends and displaying an indicator comparing them as one color when the closing value trend is greater than the opening value trend and another when the opposite occurs.

DETAILED DESCRIPTION - The indicator displays the time interval and the trends can be shown as lines in a graph. The trend indicator is regression algorithms such as stochastics, relative strength, exponential weighted average, Bollinger Bands, commodity channel index etc. A trade is executed for the investment with calculation of potential tax liability.

There are INDEPENDENT CLAIMS for (1) a computer program, (2) an apparatus for displaying investment trading trends.

USE - Method is for displaying a two line crossover method **signaling stocks , bonds and commodities buying and selling opportunities in electronic trading .**

ADVANTAGE - Method analyzes market data and develops trade information to reduce risk and loss for the **investor** and extrapolates trends to provide the **investor** with current price information, indicators, long and short positions etc.

DESCRIPTION OF DRAWING(S) - The figure shows the possible interaction between data systems.

pp; 42 DwgNo 1/13

Title Terms: DISPLAY; INVESTMENT; TRADE; TREND; CALCULATE; OPEN; CLOSE; VALUE; TREND; DISPLAY; COLOUR; TIME; INTERVAL; BASED; **USER** ; PROFILE

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/41 (Item 35 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014226737 **Image available**

WPI Acc No: 2002-047435/200206

Apparatus and method for game of actual stock of cyber stock transaction system

Patent Assignee: SAMSUNG SECURITIES CO LTD (SMSU)

Inventor: PARK J H

Number of Countries: 001 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
KR 2001056499	A	20010704	KR 9957975	A	19991215	200206 B

KR 345919 B 20020727 KR 9957975 A 19991215 200309

Priority Applications (No Type Date): KR 9957975 A 19991215

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
KR 2001056499	A		1	G06F-019/00	
KR 345919	B			G06F-017/60	Previous Publ. patent KR 2001056499

Abstract (Basic): KR 2001056499 A

NOVELTY - An apparatus and method for a game of an actual stock of a cyber stock transaction system is provided to decide a rank according to a **user** and to award per a fixed period through an earning rate of an actual stock transaction and a percentage of victories by adding an actual stock game function in a cyber stock transaction.

DETAILED DESCRIPTION - An exclusive emulator or a **web** browser is installed for making a plurality of **client** PCs(10(1),..., 10(N)) perform a cyber **stock transaction** through a communication **network** (20). If each **user** connects to a **security0** corporation by the exclusive emulator or a **web** browser selects an actual stock game, an actual stock game window is displayed and an actual stock game selection key **signal** is outputted to a main server(30). In addition, an earning rate and a percentage of victories data and a notice board data are received from the main server(30) up to the current time in accordance with the actual stock game selection key **signal**, and the earning rate and the percentage are displayed on the actual stock game window. The **client** PCs(10(1),..., 10(N)) output the corresponding data to the main server(30) when stock related data are registered by the **user**. The communication **network** (20) connects to the **client** PCs(10(1),..., 10(N)), the main server(30) and a **stock exchange** computer system for a real time **stock transaction**.

pp; 1 DwgNo 1/10

Title Terms: APPARATUS; METHOD; GAME; ACTUAL; STOCK; STOCK; TRANSACTION; SYSTEM

Derwent Class: T01

International Patent Class (Main): G06F-017/60 ; G06F-019/00

File Segment: EPI

12/5/42 (Item 36 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014196461 **Image available**

WPI Acc No: 2002-017158/200202

XRPX Acc No: N02-013797

Identification document generating and ordering system using Internet, provides facsimile of draft identification document to user and receives job acceptance signal from user

Patent Assignee: VRAIN K C S (VRAI-I)

Inventor: VRAIN K C S

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 20010037309	A1	20011101	US 2000179355	A	20000131	200202 B
			US 2001774762	A	20010131	

Priority Applications (No Type Date): US 2000179355 P 20000131; US 2001774762 A 20010131

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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Abstract (Basic): US 20010037309 A1

NOVELTY - A service bureau (112) retrieves demographic data, graphical representation and identification document design data from databases (120,122) in response to the paid-in-full and **user** verification **signals** from modules (110,126) and produces a draft identification document. A module (124) transmits a facsimile of the document to the **user** over a network and in turn receives a job acceptance **signal**.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for customized identification document ordering method.

USE - For generating and **ordering** an identification document such as identification cards, badges or larger documents such as passport over a **network** such as **Internet** for **security** applications.

ADVANTAGE - Data relating to the age or birth date of the **user** is not printed on the identification document, thus the illegitimate **users** attempting to obtain the documents are avoided. Regular identification badge stock is used and the type of stock is not typically preprinted and is cheaper than preprint identification badge stock. The cost of the document is reduced and the service bureau automatically generates e-mail address to the **user** when the badges are ready.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of identification document specification and production system.

Payment module (110)

Service bureau (112)

Demographic and picture data database (120)

Identification document design data database (122)

User approval module (124)

User verification module (126)

pp; 24 DwgNo 1/10

Title Terms: IDENTIFY; DOCUMENT; GENERATE; ORDER; SYSTEM; FACSIMILE; DRAFT; IDENTIFY; DOCUMENT; **USER** ; RECEIVE; JOB; ACCEPT; **SIGNAL** ; **USER**

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/43 (Item 37 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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014185618 **Image available**

WPI Acc No: 2002-006315/200201

XRPX Acc No: N02-005405

Internet based shopping system performs sale of goods to client when keyword alerted to client is answered

Patent Assignee: NEC CORP (NIDE)

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
JP 2001283121	A	20011012	JP 200089163	A	20000328	200201 B

Priority Applications (No Type Date): JP 200089163 A 20000328

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
JP 2001283121	A		9 G06F-017/60	

Abstract (Basic): JP 2001283121 A

NOVELTY - An acquisition unit (13) in a server (1) acquires the telephone number of a **client** (8) through internet (6). The server places a telephone call to the acquired number to **alert** a keyword to the **client** and provides sale of goods or a service to the **client** when the **alerted** keyword is answered by the **client**.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

- (a) Server;
- (b) **Client** terminal

USE - For performing sale of goods through internet.

ADVANTAGE - Since goods sale is performed to the **client** only if the **alerted** keyword is answered, the **security** in **electronics** commercial **transaction** is improved.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of an internet based shopping system. (Drawing includes non-English language text).

Server (1)
Internet (6)
Client (8)
Acquisition unit (13)

pp; 9 DwgNo 1/4

Title Terms: BASED; SHOPPING; SYSTEM; PERFORMANCE; SALE; GOODS; **CLIENT** ;
KEYWORD; **ALERT** ; **CLIENT** ; ANSWER

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/44 (Item 38 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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013991698

WPI Acc No: 2001-475913/200151

XRPX Acc No: N01-352253

Method of executing transaction in computerized system by enabling order-receiving parties to designate other parties for re-brokering

Patent Assignee: XBOND CORP (XBON-N)

Inventor: HUGHES W

Number of Countries: 092 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200148668	A1	20010705	WO 2000US35492	A	20001228	200151 B
AU 200127415	A	20010709	AU 200127415	A	20001228	200164

Priority Applications (No Type Date): US 2000706678 A 20001106; US 99173581 P 19991229; US 2000178049 P 20000124; US 2000201599 P 20000503

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200148668 A1 E 109 G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

AU 200127415 A G06F-017/60 Based on patent WO 200148668

Abstract (Basic): WO 200148668 A1

NOVELTY - Method consists in allowing the parties receiving the

order to designate other parties by allowing them to communicate offers or bids for financial instruments, determining whether a match occurs on orders from two parties and executing the transaction. The first ordering party can select whether the order is a live executable order or a subject order. A list of parties is stored in memory using a set of rules.

DETAILED DESCRIPTION - There is an INDEPENDENT CLAIM for a computerized trading system.

USE - Method is for **anonymous trading** over e.g. the **Internet** through systematic use of broker-dealers and is for **trading bonds**, **currencies**, fixed income **securities** etc.

ADVANTAGE - Method enhances the roles of broker-dealers in **securities trading** systems, supports **anonymous trading** and **automatically** rebrokers **orders** by broker-dealers.

pp; 109 DwgNo 0/19

Title Terms: METHOD; EXECUTE; TRANSACTION; SYSTEM; ENABLE; ORDER; RECEIVE; PARTY; DESIGNATED; PARTY

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/45 (Item 39 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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013980339 **Image available**

WPI Acc No: 2001-464553/200150

XRPX Acc No: N01-344548

Automated **order and share matching method in equity trading system**, involves **determining price of cross transaction**, if any market order matches with one indication of interest to purchase or sell desired stock

Patent Assignee: SALOMON SMITH BARNEY INC (SALO-N)

Inventor: HARTS W R; MOORE R E

Number of Countries: 091 Number of Patents: 003

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200104817	A1	20010118	WO 2000US18673	A	20000707	200150 B
AU 200062072	A	20010130	AU 200062072	A	20000707	200150
EP 1208508	A1	20020529	EP 2000948597	A	20000707	200243
			WO 2000US18673	A	20000707	

Priority Applications (No Type Date): US 99352303 A 19990712; US 99143258 P 19990709

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200104817 A1 E 26 G06F-017/60

Designated States (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

AU 200062072 A G06F-017/60 Based on patent WO 200104817

EP 1208508 A1 E G06F-017/60 Based on patent WO 200104817

Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI

Abstract (Basic): WO 200104817 A1

NOVELTY - Received market orders are checked for contra-transaction of desired stock of specific entity. If matching of any of the market orders for desired stock of particular entity is evaluated with at least one indication of interest received to purchase or sell the desired stock based on preset criteria, a price for created cross transaction is determined.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

(a) Automated system for matching **customer** equity buy and sell orders;

(b) Computerized system to manage working orders;

(c) Computerized method to manage working orders

USE - For matching orders to buy and sell stock shares in equity trading system.

ADVANTAGE - Provides a transaction price which splits spread preferably equal between buying and selling **client**, hence provides price improvement for **clients** and eliminates exchange fees and **broker** communications associated with trade on floor of exchange. Enables tracking national best price over several national exchanges, to determine transaction price for **traders**. Keeps track of whether a large market order is fulfilled during a trading day and automatically generates an indication or **signal**, to execute portion of transaction on exchange floor at preselected times, when insufficient number of matching transactions are made available. Facilitates interaction of retail and institutional **client** order flow and provides price improvement. Allows a **brokerage** house to capitalize on its large order flow of retail and institutional orders.

DESCRIPTION OF DRAWING(S) - The figure shows schematic representation of equity trading system.

pp; 26 DwgNo 1/3

Title Terms: AUTOMATIC; ORDER; SHARE; MATCH; METHOD; TRADE; SYSTEM;

DETERMINE; PRICE; CROSS; TRANSACTION; MARKET; ORDER; MATCH; ONE; INDICATE
; INTEREST; PURCHASE; SELL; STOCK

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/46 (Item 40 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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013974796 **Image available**

WPI Acc No: 2001-459009/200150

XRPX Acc No: N01-340325

Anonymous trading **method of securities over crossing network , involves generating synthetic profile and matching it with contra side profile for facilitating a trade**

Patent Assignee: OPTIMARK INC (OPTI-N)

Inventor: ATCHISON D; FABISZAK C M; LUPIEN W A; RICHARD J T; SMIGEL M

Number of Countries: 026 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
EP 1118953	A2	20010725	EP 2001200200	A	20010119	200150 B

Priority Applications (No Type Date): US 2000489769 A 20000121

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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EP 1118953	A2	E	70	G06F-017/60	
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Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT

LI LT LU LV MC MK NL PT RO SE SI TR

Abstract (Basic): EP 1118953 A2

NOVELTY - Buy and sell orders in the form of profiles including one price and quantity coordinate that associates a preference value, are received for a particular security. A synthetic profile generated from available quantities in the profiles at each price and the preference value, is matched with a contra side profile for facilitating a trade.

USE - For **anonymous trading of securities** including assets such as futures, derivatives, options, **bonds**, currencies, commodities, insurance contracts, etc., over **anonymous** and confidential crossing **network** that matches **buy and sell orders** of traders or institutional investors. Also for trading media time, airline tickets, concert tickets, **electronic** components or any contract for goods or services.

ADVANTAGE - Allows traders to input satisfaction density profile and maximum size limit which characterizes trader's degree of satisfaction to trade at any and all prices and sizes, and that matches orders, hence each trader is assured that the overall outcome of process in terms of average size and price, has maximized the mutual satisfaction of all traders.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of **anonymous** matching system.

pp; 70 DwgNo 1/25

Title Terms: TRADE; METHOD; SECURE; CROSS; NETWORK; GENERATE; SYNTHETIC; PROFILE; MATCH; CONTRA; SIDE; PROFILE; FACILITATE; TRADE

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/47 (Item 41 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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013963194 ****Image available****

WPI Acc No: 2001-447408/200148

XRPX Acc No: N01-331053

Dealing order automatic order device for use in market place, makes an order when all triggers set and stored based on dealing conditions input by customer, coincide with transaction situation in market place

Patent Assignee: NIPPON ONLINE SHOKEN KK (NION-N); KABU.COM SHOKEN KK (KABU-N)

Number of Countries: 001 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
JP 2001155086	A	20010608	JP 2000277623	A	20000913	200148 B
JP 2004005554	A	20040108	JP 2000277623	A	20000913	200405
			JP 2003101423	A	20030404	

Priority Applications (No Type Date): JP 99260084 A 19990914

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

JP 2001155086 A 10 G06F-017/60

JP 2004005554 A 11 G06F-017/60 Div ex application JP 2000277623

Abstract (Basic): JP 2001155086 A

NOVELTY - **Trigger** setting unit sets up the order conditions of the dealing as a **trigger** based on dealing conditions input by a **customer** and stores **trigger** in a memory (14). The **trigger** is monitor for its coincidence with the transaction situation in the

market place (60). A processor (17) makes an order when all the **triggers** coincide with the transaction situation.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

- (a) Automatic dealing order system;
- (b) Automatic dealing order procedure

USE - For use in market place for an order of dealing such as securities, stock, debenture.

ADVANTAGE - As the dealing **order** is made **automatically** based on stored **triggers**, a systematic response is attained for **stock**, purchase **order** process. The manual labor is eliminated and **security** of **transaction** is improved.

DESCRIPTION OF DRAWING(S) - The figure shows the dealing order automatic order system with the dealing order automatic order device. (Drawing includes non-English language text).

Memory (14)
Processor (17)
Market place (60)
pp; 10 DwgNo 1/8

Title Terms: DEAL; ORDER; AUTOMATIC; ORDER; DEVICE; MARKET; PLACE; ORDER;
TRIGGER; SET; STORAGE; BASED; DEAL; CONDITION; INPUT; **CUSTOMER**;
COINCIDE; TRANSACTION; SITUATE; MARKET; PLACE

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/48 (Item 42 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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013963190 **Image available**

WPI Acc No: 2001-447404/200148

XRPX Acc No: N01-331049

Cyber security transaction system controls display of web page of applicable enterprise in preset area of applicable menu screen of client when specific enterprise name is selected from displayed enterprise names

Patent Assignee: THREE STAR SECURITIES CO LTD (THRE-N); SAMSUNG SECURITIES CO LTD (SMSU)

Inventor: PARK J H; SUNG N H; SEONG N H

Number of Countries: 002 Number of Patents: 003

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
JP 2001155080	A	20010608	JP 20006002	A	20000107	200148 B
KR 2001047595	A	20010615	KR 9951892	A	19991122	200170
KR 315099	B	20011124	KR 9951892	A	19991122	200245

Priority Applications (No Type Date): KR 9951892 A 19991122

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
JP 2001155080	A		18	G06F-017/60	
KR 2001047595	A			G06F-017/60	
KR 315099	B			G06F-017/60	Previous Publ. patent KR 2001047595

Abstract (Basic): JP 2001155080 A

NOVELTY - **Client** computers (10(1)-10(n)) are connected to computing system (40) and main server (30) through **network** (20) for **stock transaction**. **Stock** related data for each **client** advertisement data of each enterprise are stored in server. When menu

item selecting **signal** of specific enterprise name in displayed multiple enterprise names is input, display of web page of applicable enterprise in preset area of applicable menu screen of **client** computer is controlled.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for institutional advertising procedure.

USE - For **online stock transactions** through computer **network** such as **internet**.

ADVANTAGE - As enterprise information of enterprise desired by the **user** is provided quickly and correctly and **online** to the **users** on the menu screen of **user** computer, cyber **security transaction** system is improved.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of cyber security transaction system. (Drawing includes non-English language text).

-10(n)) **Client** computers (10(1))
Network (20)
Main server (30)
Computing system (40)
pp; 18 DwgNo 1/8

Title Terms: SECURE; TRANSACTION; SYSTEM; CONTROL; DISPLAY; WEB; PAGE; APPLY; PRESET; AREA; APPLY; MENU; SCREEN; **CLIENT**; SPECIFIC; NAME; SELECT; DISPLAY; NAME

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

International Patent Class (Additional): G06F-017/30

File Segment: EPI

12/5/49 (Item 43 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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013948202 **Image available**

WPI Acc No: 2001-432416/200146

XRPX Acc No: N01-320476

Internet oriented transaction method involves executing trade defined by buying-selling order indications which are invisible to other market participants

Patent Assignee: SHAW & CO INC D E (SHAW-N)

Inventor: GIANAKOUROS N P; **SHAW D E**

Number of Countries: 092 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200122339	A2	20010329	WO 2000US26299	A	20000925	200146 B
AU 200076130	A	20010424	AU 200076130	A	20000925	200147

Priority Applications (No Type Date): US 2000565444 A 20000505; US 99155643 P 19990924

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200122339 A2 E 97 G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

AU 200076130 A G06F-017/60 Based on patent WO 200122339

Abstract (Basic): WO 200122339 A2

NOVELTY - Indications for buying and selling security orders at non-discrete prices found using national best bid offer (NBBO) data, submitted by retail customers (210), are routed to routing system (230) through Internet (220). A request is sent by routers (120-1) to execute customer-customer trade by central order match box (COMB) (110) by matching buying and selling orders, invisible to other market participants.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

- (a) Continuous securities buying and selling program;
- (b) Continuous securities transaction system;
- (c) Dynamic order router for continuous interaction of retail orders;
- (d) Crossing network for continuous interaction;
- (e) Computer system

USE - For continuous interaction of marketable retail security orders between traders and investors, through Internet in pension fund and mutual fund issuing companies.

ADVANTAGE - Facilitates automated, continuous, fully electronic, anonymous, non-display based interaction between professional market participants and retail marketable order without waiting for set times. Provides the financial securities to clients at predetermined non-discrete prices.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of system for buying and selling instruments through network.

COMB (110)
Router (120-1)
Customer (210)
Internet (220)
Routing system (230)
pp; 97 DwgNo 2/5

Title Terms: ORIENT; TRANSACTION; METHOD; EXECUTE; TRADE; DEFINE; BUY; SELL
; ORDER; INDICATE; INVISIBLE; MARKET; PARTICIPATING

Derwent Class: T01; T05

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/50 (Item 44 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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013890754 **Image available**

WPI Acc No: 2001-374967/200139

XRPX Acc No: N01-274361

Individual trading computer for automatically trading investment items such as stocks, options, contracts, metals, and/or etc. has trading interface that sends trade request signal to individual selected market trader

Patent Assignee: AUTOMATED BUSINESS CO (AUTO-N); FREENY C C (FREE-I)

Inventor: FREENY C C

Number of Countries: 090 Number of Patents: 004

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200141006	A1	20010607	WO 99US29324	A	19991209	200139 B
AU 200019380	A	20010612	AU 200019380	A	19991209	200154
US 6594643	B1	20030715	US 97970769	A	19971114	200348
			US 99451643	A	19991130	
US 20030200169	A1	20031023	US 97970769	A	19971114	200370

US 99451643 A 19991130
US 2003455701 A 20030605

Priority Applications (No Type Date): US 99451643 A 19991130; US 97970769 A 19971114; US 2003455701 A 20030605

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200141006 A1 E 31 G06F-017/60

Designated States (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW

AU 200019380 A G06F-017/60 Based on patent WO 200141006

US 6594643 B1 G06F-017/60 CIP of application US 97970769

US 20030200169 A1 G06F-017/60 CIP of application US 97970769

Cont of application US 99451643

Cont of patent US 6594643

Abstract (Basic): WO 200141006 A1

NOVELTY - A computer (16) automatically analyzes an investment data with a set trading criteria. The computer automatically outputs via an trading interface (18) a trade request **signal** (TRS) using a communication link (32) to an individual selected market **trader** (28) selected by the individual in response to the analysis determining that the item should be traded.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is included for:

(a) a method for automatically trading investment items based on given conditions

USE - For **automatically trading** investment items based on set conditions. The investment items could be **stocks**, options, contracts, metals, and/or a number of other investment items, for example.

ADVANTAGE - Excludes requirement for matching the exact criteria for a trade when traded manually. Provides a close watch of market data for a number of indications be exactly maintained while excluding boredom, interruptions, mis-readings, etc. leading to poor or losing trade executions. Monitors gradually change and require criteria or algorithm methodology alterations.

DESCRIPTION OF DRAWING(S) - The drawing is a schematic diagrammatic view of a system for automatically trading investment items operating in accordance with the present invention.

computer (16)

trading interface (18)

market **trader** (28)

communication link (32)

pp; 31 DwgNo 1/5

Title Terms: INDIVIDUAL; TRADE; COMPUTER; AUTOMATIC; TRADE; INVESTMENT; ITEM; STOCK; OPTION; CONTRACT; METAL; TRADE; INTERFACE; SEND; TRADE; REQUEST; **SIGNAL**; INDIVIDUAL; SELECT; MARKET

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/51 (Item 45 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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013844497 **Image available**

WPI Acc No: 2001-328710/200134

XRPX Acc No: N01-236558

Internet -based investment advice providing system for financial planners, has trade advisor component proposing securities transactions , based on comparison of portfolio information with bench mark by asset allocator

Patent Assignee: UPSTREAM TECHNOLOGIES LLC (UPST-N)

Inventor: HOFFMAN M; MCRAE D A; SAMUELSON P; SCHULMAN E; WALKER J L

Number of Countries: 093 Number of Patents: 003

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200131538	A1	20010503	WO 2000US29450	A	20001025	200134 B
AU 200114389	A	20010508	AU 200114389	A	20001025	200149
GB 2373355	A	20020918	WO 2000US29450	A	20001025	200263
			GB 200212060	A	20020524	

Priority Applications (No Type Date): US 99161258 P 19991025

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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WO 200131538	A1	E	98	G06F-017/60	
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Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

AU 200114389	A			G06F-017/60	Based on patent WO 200131538
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GB 2373355	A			G06F-017/60	Based on patent WO 200131538
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Abstract (Basic): WO 200131538 A1

NOVELTY - The **client** can access portfolio data concerning securities, portfolio identified by database. Servers (38,50) coupled to portfolio database (58), hosts trade advisor component which has an asset allocator component. Trade advisor component proposes securities transactions to **client** , based on comparison of portfolio information by asset allocator with a bench mark.

DETAILED DESCRIPTION - A server computer hosts investment advice service accessible by **client** via **client** computers. The database operatively coupled to the server computer, identifies the number of portfolios and maintains portfolio information associated with the security portfolios. The investment advice service is available via a computer network to assist a **client** in managing a securities portfolio identified by the database. INDEPENDENT CLAIMS are also included for the following:

- Computerized investment advice providing method;
- Recording medium;
- Graphical **user** interface;
- Computer data **signal** ;
- Computer memory

USE - For providing investment advice and managing securities portfolios for **clients** , such as individual **investors** or financial planners, over Internet.

ADVANTAGE - Provides clear, easy-to-comprehend advice, customized to the **user** as to that **user** 's portfolio holdings, tax position and risk profile at the time the **user** is receiving his/her portfolio and/or considering making a transaction. The application program interface (API) of the system architecture provides for integration of this system with the existing applications, thus providing extensibility of the system.

DESCRIPTION OF DRAWING(S) - The figure shows the Internet-based investment advice providing system.

Server computers (38,50)
 Portfolio database (58)
 pp; 98 DwgNo 1/20
 Title Terms: BASED; INVESTMENT; ADVICE; SYSTEM; FINANCIAL; TRADE; COMPONENT
 ; SECURE; TRANSACTION; BASED; COMPARE; PORTFOLIO; INFORMATION; BENCH;
 MARK; ALLOCATE
 Derwent Class: T01
 International Patent Class (Main): G06F-017/60
 File Segment: EPI

12/5/52 (Item 46 from file: 350)

DIALOG(R) File 350:Derwent WPIX
 (c) 2004 Thomson Derwent. All rts. reserv.

013831975 **Image available**
 WPI Acc No: 2001-316187/200133
 XRPX Acc No: N01-227300

Stock trading method in electronic trading system involves
 executing trade if there is no better trade in stock order
 originating from outside system for either primary party or counter party

Patent Assignee: BLOOMBERG LP (BLOO-N)
 Inventor: BANG K; FOLEY K
 Number of Countries: 094 Number of Patents: 005
 Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200125996	A1	20010412	WO 2000US26866	A	20000929	200133 B
AU 200078400	A	20010510	AU 200078400	A	20000929	200143
BR 200014509	A	20020611	BR 200014509	A	20000929	200248
			WO 2000US26866	A	20000929	
EP 1226535	A1	20020731	EP 2000968497	A	20000929	200257
			WO 2000US26866	A	20000929	
JP 2003511759	W	20030325	WO 2000US26866	A	20000929	200330
			JP 2001528882	A	20000929	

Priority Applications (No Type Date): US 99412408 A 19991005

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200125996 A1 E 41 G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
 CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
 KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT
 RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
 IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

AU 200078400 A G06F-017/60 Based on patent WO 200125996

BR 200014509 A G06F-017/60 Based on patent WO 200125996

EP 1226535 A1 E G06F-017/60 Based on patent WO 200125996

Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
 LI LT LU LV MC MK NL PT RO SE SI

JP 2003511759 W 49 G06F-017/60 Based on patent WO 200125996

Abstract (Basic): WO 200125996 A1

NOVELTY - Offering is made by a primary party to buy or sell
 selected number of shares at selected price from or to selected counter
 parties. Both parties agree to trade up to an agreed number of shares
 of stock on agreed price. The trade is executed if there is no better
 trade in stock order originating from outside the system for either of
 the parties otherwise better trade is executed.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
 following:

XRPX Acc No: N01-236558

Internet -based investment advice providing system for financial planners, has trade advisor component proposing securities transactions , based on comparison of portfolio information with bench mark by asset allocator

Patent Assignee: UPSTREAM TECHNOLOGIES LLC (UPST-N)

Inventor: HOFFMAN M; MCRAE D A; SAMUELSON P; SCHULMAN E; WALKER J L

Number of Countries: 093 Number of Patents: 003

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200131538	A1	20010503	WO 2000US29450	A	20001025	200134 B
AU 200114389	A	20010508	AU 200114389	A	20001025	200149
GB 2373355	A	20020918	WO 2000US29450	A	20001025	200263
			GB 200212060	A	20020524	

Priority Applications (No Type Date): US 99161258 P 19991025

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
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WO 200131538	A1	E	98 G06F-017/60	
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Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

AU 200114389	A		G06F-017/60	Based on patent WO 200131538
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GB 2373355	A		G06F-017/60	Based on patent WO 200131538
------------	---	--	-------------	------------------------------

Abstract (Basic): WO 200131538 A1

NOVELTY - The **client** can access portfolio data concerning securities, portfolio identified by database. Servers (38,50) coupled to portfolio database (58), hosts trade advisor component which has an asset allocator component. Trade advisor component proposes securities transactions to **client** , based on comparison of portfolio information by asset allocator with a bench mark.

DETAILED DESCRIPTION - A server computer hosts investment advice service accessible by **client** via **client** computers. The database operatively coupled to the server computer, identifies the number of portfolios and maintains portfolio information associated with the security portfolios. The investment advice service is available via a computer network to assist a **client** in managing a securities portfolio identified by the database. INDEPENDENT CLAIMS are also included for the following:

- (a) Computerized investment advice providing method;
- (b) Recording medium;
- (c) Graphical **user** interface;
- (d) Computer data **signal** ;
- (e) Computer memory

USE - For providing investment advice and managing securities portfolios for **clients** , such as individual **investors** or financial planners, over Internet.

ADVANTAGE - Provides clear, easy-to-comprehend advice, customized to the **user** as to that **user** 's portfolio holdings, tax position and risk profile at the time the **user** is receiving his/her portfolio and/or considering making a transaction. The application program interface (API) of the system architecture provides for integration of this system with the existing applications, thus providing extensibility of the system.

DESCRIPTION OF DRAWING(S) - The figure shows the Internet-based investment advice providing system.

Server computers (38,50)
 Portfolio database (58)
 pp; 98 DwgNo 1/20
 Title Terms: BASED; INVESTMENT; ADVICE; SYSTEM; FINANCIAL; TRADE; COMPONENT
 ; SECURE; TRANSACTION; BASED; COMPARE; PORTFOLIO; INFORMATION; BENCH;
 MARK; ALLOCATE
 Derwent Class: T01
 International Patent Class (Main): G06F-017/60
 File Segment: EPI

12/5/52 (Item 46 from file: 350)
 DIALOG(R)File 350:Derwent WPIX
 (c) 2004 Thomson Derwent. All rts. reserv.

013831975 **Image available**
 WPI Acc No: 2001-316187/200133
 XRPX Acc No: N01-227300

Stock trading method in electronic trading system involves
 executing trade if there is no better trade in stock order
 originating from outside system for either primary party or counter party

Patent Assignee: BLOOMBERG LP (BLOO-N)
 Inventor: BANG K; FOLEY K
 Number of Countries: 094 Number of Patents: 005
 Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200125996	A1	20010412	WO 2000US26866	A	20000929	200133	B
AU 200078400	A	20010510	AU 200078400	A	20000929	200143	
BR 200014509	A	20020611	BR 200014509	A	20000929	200248	
			WO 2000US26866	A	20000929		
EP 1226535	A1	20020731	EP 2000968497	A	20000929	200257	
			WO 2000US26866	A	20000929		
JP 2003511759	W	20030325	WO 2000US26866	A	20000929	200330	
			JP 2001528882	A	20000929		

Priority Applications (No Type Date): US 99412408 A 19991005

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200125996 A1 E 41 G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
 CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
 KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT
 RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
 IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

AU 200078400 A G06F-017/60 Based on patent WO 200125996

BR 200014509 A G06F-017/60 Based on patent WO 200125996

EP 1226535 A1 E G06F-017/60 Based on patent WO 200125996

Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
 LI LT LU LV MC MK NL PT RO SE SI

JP 2003511759 W 49 G06F-017/60 Based on patent WO 200125996

Abstract (Basic): WO 200125996 A1

NOVELTY - Offering is made by a primary party to buy or sell
 selected number of shares at selected price from or to selected counter
 parties. Both parties agree to trade up to an agreed number of shares
 of stock on agreed price. The trade is executed if there is no better
 trade in stock order originating from outside the system for either of
 the parties otherwise better trade is executed.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
 following:

- (a) Electronic trading system;
- (b) Stock interest determining method;
- (c) **Anonymous** negotiation conducting system;
- (d) **Anonymous** trade conducting system

USE - For electronic trading system, electronic communication network.

ADVANTAGE - Supports **anonymous** negotiation complying with order handling rates, indicators of interest (IOI) while discouraging fishing IOIs. So users can engage in trades using IOIs with confidence that the initiator is not fishing and wasting the user's time.

DESCRIPTION OF DRAWING(S) - The figure shows the trading system.

pp; 41 DwgNo 1/19

Title Terms: STOCK; TRADE; METHOD; ELECTRONIC; TRADE; SYSTEM; EXECUTE; TRADE; NO; TRADE; STOCK; ORDER; ORIGIN; SYSTEM; PRIMARY; PARTY; COUNTER; PARTY

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/53 (Item 47 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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013773035 **Image available**

WPI Acc No: 2001-257246/200126

XRPX Acc No: N01-183478

Computerized **tracking system** for trading of financial instruments, has active quotes database to maintain a list of current active quotations with bids and offers

Patent Assignee: MOSS P I (MOSS-I); TULLETT FINANCIAL INFORMATION CI LTD (TULL-N); WALTERS M D (WALT-I); POINTER E G (POIN-I); WALTERS D M (WALT-I)

Inventor: MOSS P I; POINTER G E; WALTERS M D; POINTER E G; WALTERS D M

Number of Countries: 091 Number of Patents: 004

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200068846	A2	20001116	WO 2000GB1507	A	20000418	200126 B
AU 200045837	A	20001121	AU 200045837	A	20000418	200126
EP 1183631	A2	20020306	EP 2000927431	A	20000418	200224
			WO 2000GB1507	A	20000418	
US 20020128945	A1	20020912	US 2001753755	A	20010103	200262

Priority Applications (No Type Date): GB 9910588 A 19990508

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200068846 A2 E 33 G06F-017/60

Designated States (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW NL OA PT SE SL SZ TZ UG ZW

AU 200045837 A G06F-017/60 Based on patent WO 200068846

EP 1183631 A2 E G06F-017/60 Based on patent WO 200068846

Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI

US 20020128945 A1 G06F-017/60

Abstract (Basic): WO 200068846 A2

NOVELTY - An input device (11) generates response message

indicating willingness to accept a bid or offer of current quotations. An active quotes database (32) maintains a list of current active quotations on the trading system. An active quote filter (36) applies selected filtration criteria to inhibit display of current market quotations at a given workstation based on generalized workers indicators.

DETAILED DESCRIPTION - Trader workstations (33), connected to a central server (3) has display (10) of current quotations in the market place including bids and offers. The central server connects workstations (WS) associated with respective trading floor or institution. The database (41) stores generalized institution status indicators in respect to each trading floor or institution. Each indicator indicates non-specific attribute of respective institution. INDEPENDENT CLAIMS are also included for the following:

(a) method of operating an automated trading system;
(b) automatic trading system operating program stored in computer readable recording medium.

USE - Used in **automated trading of financial instruments** such as foreign currency or commodities.

ADVANTAGE - The system provides an effective filtration which enables a reduction in the information to be presented to the trader in his workstation while maintaining a capability for the originators of displayed market quotes to remain **anonymous**. The system allows an individual trader to effectively transfer ownership of an active quote to another trader.

DESCRIPTION OF DRAWING(S) - The figure shows the computerized trading system.

Central server (3)
Display (10)
Input device (11)
Active quotes database (32)
Trader workstation (33)
Active quote filter (36)
Database (41)
pp; 33 DwgNo 3/6

Title Terms: COMPUTER; TRACK; SYSTEM; TRADE; FINANCIAL; INSTRUMENT; ACTIVE; DATABASE; MAINTAIN; LIST; CURRENT; ACTIVE; BID; OFFER

Derwent Class: T01; T05

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/54 (Item 48 from file: 350)

DIALOG(R)File 350:Derwent WPIX

(c) 2004 Thomson Derwent. All rts. reserv.

013773034 **Image available**

WPI Acc No: 2001-257245/200126

XRPX Acc No: N01-183477

Transaction method for use in field of e-commerce, involves transmitting purchase signal to purchase by merchant to confirm that nominated goods are purchased

Patent Assignee: SHANAHAN T (SHAN-I)

Inventor: SHANAHAN T

Number of Countries: 092 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200068845	A1	20001116	WO 2000AU421	A	20000505	200126 B
AU 200042766	A	20001121	AU 200042766	A	20000505	200126

Priority Applications (No Type Date): AU 99188 A 19990505

Bode Akintola24-Feb-04

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 200068845 A1 E 39 G06F-017/60

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY CA CH
CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE
KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU
SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW

AU 200042766 A G06F-017/60 Based on patent WO 200068845

Abstract (Basic): WO 200068845 A1

NOVELTY - A purchaser (10) nominates goods, and obtains monetary value of nominated goods from a merchant (20). Purchaser communicates with funds provider (30) who provides encoded payment **signal** for funds based on obtained monetary value, to purchaser. The purchaser allows merchant to decode the payment **signal**. The purchase **signal** is sent to the purchaser by merchant to confirm that nominated goods are purchased.

DETAILED DESCRIPTION - The encoded payment **signal** consists of three segment data portion, whereas the first data portion consists of **customer** confirmation number which is decoded by purchaser and not by merchant, second data portion consists of merchant confirmation number which is decoded by merchant and not by purchaser, and the third data portion consists of transaction number allocated to the purchaser by the merchant. INDEPENDENT CLAIMS are also included for the following:

- (a) transaction system;
- (b) funds providing method;
- (c) method for merchant to trade goods

USE - For transaction between merchant offering for sale goods and/or services, purchaser desiring to purchase goods and/or services and funds provider. Also in the field of electronic commerce.

ADVANTAGE - Since the purchaser opens the **web** sites of merchant and funds provider, simultaneously the **transaction** is simple and improves **security**, since the encoded payment **signal** from the funds provider is transmitted to the merchant only through the purchaser. By decoding the portion of payment **signal** by merchant, the electronic funds transfer between the funds provider the merchant is performed, thus transaction is facilitated. Since the purchaser utilize a computer system which automatically configures the purchase **signals** and payment **signals**, the confirmation to the **user** is facilitated.

DESCRIPTION OF DRAWING(S) - The figure shows the schematic diagram of transaction system.

Purchaser (10)

Merchant (20)

Funds provider (30)

pp; 39 DwgNo 7/7

Title Terms: TRANSACTION; METHOD; FIELD; TRANSMIT; PURCHASE; **SIGNAL** ;

PURCHASE; MERCHANT; CONFIRM; GOODS; PURCHASE

Derwent Class: T01; T05

International Patent Class (Main): G06F-017/60

International Patent Class (Additional): G06F-151/00

File Segment: EPI

12/5/55 (Item 49 from file: 350)

DIALOG(R) File 350:Derwent WPIX

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013586587 **Image available**

WPI Acc No: 2001-070794/200108

XRPX Acc No: N01-053603

Trading security system for use in trading financial instruments such as bonds, approves proposed trade only if assigned customer risk rating and trade risk rating satisfy preset mutual relationship

Patent Assignee: MEK SECURITIES LLC (MEKS-N)

Inventor: MIRAL K

Number of Countries: 080 Number of Patents: 004

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200070506	A1	20001123	WO 2000US7561	A	20000322	200108 B
AU 200039082	A	20001205	AU 200039082	A	20000322	200113
EP 1121648	A1	20010808	EP 2000918234	A	20000322	200146
			WO 2000US7561	A	20000322	
JP 2003524820	W	20030819	JP 2000618880	A	20000322	200356
			WO 2000US7561	A	20000322	

Priority Applications (No Type Date): US 2000553088 A 20000322; US 99134956 P 19990519

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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WO 200070506	A1	E	104	G06F-017/30	
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Designated States (National): AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ VN YU ZW

Designated States (Regional): AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

AU 200039082	A			G06F-017/30	Based on patent WO 200070506
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EP 1121648	A1	E		G06F-017/30	Based on patent WO 200070506
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Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI

JP 2003524820	W		87	G06F-017/60	Based on patent WO 200070506
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Abstract (Basic): WO 200070506 A1

NOVELTY - The customer risk rating and the trading risk rating, are assigned with reference to the customer and trade details received from the customer and customer, trade risk assessment rules accessed from corresponding databases. The trading proposed by customer is approved, if the assigned customer risk rating and trade risk rating satisfy predetermined mutual relationship.

USE - For secure trading of financial instruments such as bonds.

ADVANTAGE - Since the **trading** is approved only if the assigned risk rating and **trade** risk rating satisfy predefined mutual relationship, the **security** of **trading** system is improved. By communicating the **trading** system's computer and computers of sponsoring broker-dealers, the **electronic** data are interchanged, between them, directly. As trade approval rules are implemented, **anonymous** customer-to-customer trading is provided without manual intervention.

DESCRIPTION OF DRAWING(S) - The figure shows the flow diagram of trading security method.

pp; 104 DwgNo 9/20

Title Terms: TRADE; SECURE; SYSTEM; TRADE; FINANCIAL; INSTRUMENT; BOND; PROPOSED; TRADE; ASSIGN; CUSTOMER; RISK; RATING; TRADE; RISK; RATING; SATISFY; PRESET; MUTUAL; RELATED

Derwent Class: T01; T05

International Patent Class (Main): G06F-017/30; G06F-017/60

File Segment: EPI

12/5/56 (Item 50 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013522382 **Image available**
WPI Acc No: 2001-006588/200101
XRPX Acc No: N01-004739

Global synchronization unit for time and space stamping of input data
elements, connects input data element with time and space stamp data
element to produce time and space stamped input data

Patent Assignee: REVEO INC (REVE-N); FARIS S M (FARI-I); FLANNERY J P
(FLAN-I); HAMLIN G J (HAML-I); HAMLIN G (HAML-I)

Inventor: FARIS S M; FLANNERY J P; HAMLIN G J; HAMLIN G

Number of Countries: 091 Number of Patents: 008

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 200050974	A2	20000831	WO 2000US5093	A	20000228	200101 B
AU 200037102	A	20000914	AU 200037102	A	20000228	200101
US 20020026321	A1	20020228	US 99258573	A	19990226	200220
US 20020069076	A1	20020606	US 99258573	A	19990226	200241
			US 2000579105	A	20000525	
EP 1208412	A2	20020529	EP 2000915913	A	20000228	200243
			WO 2000US5093	A	20000228	
KR 2002012538	A	20020216	KR 2001710983	A	20010827	200257
JP 2003526833	W	20030909	JP 2000601510	A	20000228	200360
			WO 2000US5093	A	20000228	
US 6659861	B1	20031209	US 99258573	A	19990226	200381
			US 2000579222	A	20000526	

Priority Applications (No Type Date): US 2000513601 A 20000225; US 99258573
A 19990226; US 2000579105 A 20000525; US 2000579222 A 20000526

Patent Details:

Patent No. Kind Lan Pg Main IPC Filing Notes

WO 200050974 A2 E 340 G06F-000/00

Designated States (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN
CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP
KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE
SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW

AU 200037102 A Based on patent WO 200050974

US 20020026321 A1 G06F-017/60

US 20020069076 A1 G06F-017/60 Cont of application US 99258573

EP 1208412 A2 E G06F-001/00 Based on patent WO 200050974

Designated States (Regional): AT BE CH CY DE DK ES FI FR GB GR IE IT LI
LU MC NL PT SE

KR 2002012538 A G06F-015/16

JP 2003526833 W 342 G06F-015/177 Based on patent WO 200050974

US 6659861 B1 G06F-017/00 Cont of application US 99258573

Abstract (Basic): WO 200050974 A2

NOVELTY - GPS receiver (170) automatically produces time and space
(TS) stamp data element at each data sampling instant, on reception of
GPS **signals**. Data elements represent TS coordinates of the global
synchronization unit (GSU) with respect to global reference system.
Input data element is added with TS element at each data sampling
element so as to produce TS stamp input data element, which is stored
in memory.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
following:

- (a) internet based system;
- (b) TV based **client** machine;
- (c) method of registering contestant with internet based contest supporting system;
- (d) system for promoting and presenting web documents;
- (e) method of handling communication in multiplayer contest using multiple game servers;
- (f) method of enabling contestant to compete against many other **clients** ;
- (g) method of downloading encrypted query and start time to **client** machine;
- (h) method of characterizing the local clock on **client** machine and synchronizing the display update cycle;
- (i) method of presenting encrypted query to GSU enabled **client** machine;
- (j) method of submitting time stamped contestant response to query presented to GSU enabled **client** machine;
- (k) method of promoting contest over internet;
- (l) method of synchronizing events in **client** machines;
- (m) method of **triggering** event on **client** machine;
- (n) system for performing an action on **client** machine;
- (o) sub-system for creating and administering contests promoted by contest promoting system;
- (p) set-top TV **client** machine;
- (q) internet based method for enabling bidders;
- (r) internet based system for enabling bidders to compete in bidding;
- (s) internet based method for enabling **traders** to compete fairly in trading;
- (t) system and method of serving and receiving information over internet;
- (u) system and method for electronically filing legal documents;
- (v) system and method for receiving information from securities;
- (w) system and method for **electronic based on - line securities trading** ;
- (x) internet based method of securing computers communication network;
- (y) internet based system for displaying information clues or instruction at particular instances along space time column;
- (z) internet based system for collecting space time coordination of athlete or animal at particular instances along space time continuum;
- (aa) internet based method and system for enabling operation of set top cable TV boxes;
- (bb) internet based method and system for enabling/controlling the operation of portable host system;
- (cc) internet based system for tracking an object;
- (dd) internet based system for enabling operation of transportable digital media

USE - For time and space stamping of input data elements used in **client** -server type interworked computer systems like internet used for contest promotion, financial trading and auction supporting.

ADVANTAGE - Serving and receiving information over internet in connection with time constrained competitive processes, avoids problems of network latency and ensures microsecond accuracy.

DESCRIPTION OF DRAWING(S) - The figure shows block diagram of internet based system.

GPS receiver (170)

pp; 340 DwgNo 1/29

Title Terms: GLOBE; SYNCHRONISATION; UNIT; TIME; SPACE; STAMP; INPUT; DATA; ELEMENT; CONNECT; INPUT; DATA; ELEMENT; TIME; SPACE; STAMP; DATA; ELEMENT

; PRODUCE; TIME; SPACE; STAMP; INPUT; DATA
Derwent Class: T01
International Patent Class (Main): G06F-000/00; G06F-001/00; G06F-015/16;
G06F-015/177; G06F-017/00; **G06F-017/60**
International Patent Class (Additional): G06F-013/00; H04L-009/32;
H04N-005/225; H04N-007/173; H04N-007/18
File Segment: EPI

12/5/57 (Item 51 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013130876 **Image available**
WPI Acc No: 2000-302747/200026
Related WPI Acc No: 1998-145927; 2002-381813
XRPX Acc No: N00-226249

**Account security providing apparatus for use in financial transaction,
processes transaction on electric money account holder in conjunction
with limitation and restriction**

Patent Assignee: BOCK R R (BOCK-I); JOAO R A (JOAO-I)

Inventor: BOCK R R; JOAO R A

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 6047270	A	20000404	US 96694199	A	19960808	200026 B
			US 97873945	A	19970612	
			US 97918284	A	19970825	
			US 98169053	A	19981009	

Priority Applications (No Type Date): US 98169053 A 19981009; US 96694199 A
19960808; US 97873945 A 19970612; US 97918284 A 19970825

Patent Details:

Patent No	Kind	Lan	Pg	Main	IPC	Filing Notes
US 6047270	A		75	G06F-017/60		Cont of application US 96694199 Cont of application US 97873945 CIP of application US 98169053 Cont of patent US 5878337

Abstract (Basic): US 6047270 A

NOVELTY - The limitation and restriction on usage of electronic money account received from an account holder is stored in a memory. A processor processes a transaction on the electronic money account in conjunction with limitation and restriction and outputs an approval and disapproval **signal** to the account holder.

DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for account security providing method.

USE - For **electronic transaction** between point-of-sale device and **customer** to provide financial **transaction** and/or wireless communication device authorization, notification and/or **security** for any number and/or types of accounts including credit and accounts, charge card accounts, debit card accounts, currency card accounts or smart card accounts, electronic money or electronic cash accounts and/or other transaction card accounts, financial accounts, **brokerage** accounts, saving accounts, checking accounts, automated teller machine accounts, wireless or cellular device or telephone accounts.

ADVANTAGE - Provides real time notification of financial transaction.

DESCRIPTION OF DRAWING(S) - The figure shows block diagram of account security providing apparatus.

pp; 75 DwgNo 1/20
 Title Terms: ACCOUNT; SECURE; APPARATUS; FINANCIAL; TRANSACTION; PROCESS;
 TRANSACTION; ELECTRIC; MONEY; ACCOUNT; HOLD; CONJUNCTION; LIMIT; RESTRICT
 Derwent Class: T01; T05
 International Patent Class (Main): G06F-017/60
 File Segment: EPI

12/5/58 (Item 52 from file: 350)

DIALOG(R)File 350:Derwent WPIX
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012471660 **Image available**

WPI Acc No: 1999-277768/199923

XRPX Acc No: N99-208193

Internet-protocol based anonymous trading system for derivative trading

Patent Assignee: BLACKBIRD HOLDINGS INC (BLAC-N); MAY R R (MAYR-I);

DERIVATIVES NET INC (DERI-N)

Inventor: MAY R R

Number of Countries: 084 Number of Patents: 014

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 9919821	A1	19990422	WO 98US21518	A	19981013	199923 B
AU 9912703	A	19990503	AU 9912703	A	19981013	199937
EP 1023684	A1	20000802	EP 98956106	A	19981013	200038
			WO 98US21518	A	19981013	
US 6317727	B1	20011113	US 9762410	P	19971014	200173
			US 98169878	A	19981012	
JP 2001520421	W	20011030	WO 98US21518	A	19981013	200202
			JP 2000516304	A	19981013	
US 6421653	B1	20020716	US 9762410	P	19971014	200248
			US 98169906	A	19981012	
US 20020099651	A1	20020725	US 9762410	P	19971014	200254
			US 98169878	A	19981012	
			US 20016151	A	20011108	
US 20020138390	A1	20020926	US 9762410	P	19971014	200265
			US 98169767	A	19981012	
US 20030093360	A1	20030515	US 9762410	P	19971014	200335
			US 98169906	A	19981012	
			US 2002166565	A	20020610	
AU 762863	B	20030710	AU 9912703	A	19981013	200355
US 20030220868	A1	20031127	US 9762410	P	19971014	200378
			US 98169879	A	19981012	
			US 2000680496	A	20001005	
			US 2003408764	A	20030407	
US 20030229571	A1	20031211	US 9762410	P	19971014	200382
			US 98169767	A	19981012	
			US 2002277624	A	20021022	
US 20040015431	A1	20040122	US 9762410	P	19971014	200407
			US 98169879	A	19981012	
			US 2000679693	A	20001005	
			US 2003395710	A	20030324	
US 20040015430	A1	20040122	US 9762410	P	19971014	200407
			US 98169879	A	19981012	
			US 2003377254	A	20030228	

Priority Applications (No Type Date): US 9762410 P 19971014; US 98169878 A 19981012; US 98169906 A 19981012; US 20016151 A 20011108; US 98169767 A 19981012; US 2002166565 A 20020610; US 98169879 A 19981012; US 2000680496 A 20001005; US 2003408764 A 20030407; US 2002277624 A 20021022; US 2003377254 A 20030228; US 2000679693 A 20001005; US 2003395710 A 20030324

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
WO 9919821	A1	E	130	G06F-017/60	
Designated States (National): AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GD GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG US UZ VN YU ZW					
Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW NL OA PT SD SE SZ UG ZW					
AU 9912703	A				Based on patent WO 9919821
EP 1023684	A1	E		G06F-017/60	Based on patent WO 9919821
Designated States (Regional): AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU MC NL PT SE					
US 6317727	B1			G06F-017/60	Provisional application US 9762410
JP 2001520421	W		172	G06F-017/60	Based on patent WO 9919821
US 6421653	B1			G06F-017/60	Provisional application US 9762410
US 20020099651	A1			G06F-017/60	Provisional application US 9762410
Cont of application US 98169878					
US 20020138390	A1			G06F-017/60	Provisional application US 9762410
Cont of application US 98169906					
Cont of patent US 6421653					
AU 762863	B			G06F-017/60	Previous Publ. patent AU 9912703
Based on patent WO 9919821					
US 20030220868	A1			G06F-017/60	Provisional application US 9762410
Div ex application US 98169879					
Cont of application US 2000680496					
US 20030229571	A1			G06F-017/60	Provisional application US 9762410
Cont of application US 98169767					
US 20040015431	A1			G06F-017/60	Provisional application US 9762410
Div ex application US 98169879					
Cont of application US 2000679693					
US 20040015430	A1			G06F-017/60	Provisional application US 9762410
Cont of application US 98169879					

Abstract (Basic): WO 9919821 A1

NOVELTY - At the user's workstation, the user may select from a number of different interfaces that enable the user to follow markets, enter and execute trades and monitor outstanding and historical orders and executions.

DETAILED DESCRIPTION - Traders are able to identify bids and offers which they are eligible to trade, based upon a color coded methodology which gives the trader credit preference information about the potential counter-party while still maintaining anonymity of the counter-party. Each bid or offer is prescreened against all possible counter-parties credit information in the system, and each counter-party sees a unique color coded trading interface based upon their particular credit preference combinations and others in the system. The system shows all the prices in the system, and the colour-coding tells the trader which prices he is able to trade, and also shows him the full depth of the market, including those the trader is unable to trade. INDEPENDENT CLAIMS are included for; a method for facilitating derivative trading between one party and a number of potential traders; a method for conducting electronic trades of

financial instruments over a computer system; a system for conducting electronic trading between traders; a system for credit screening an electronic trade of a financial instrument ; a method for screening order information proposing a trade of a financial instrument via an electronic trading system; a system for risk portfolio management; a method for risk portfolio management using an electronic trading system.

USE - Electronic trading of financial instruments e.g. derivatives.

ADVANTAGE - Enables traders to identify bids and offers which they are eligible to trade based upon a color coded methodology, which gives the trader credit preference information about the potential counter-party while still maintaining anonymity of the counter-party.

DESCRIPTION OF DRAWING(S) - The drawing shows a process flow diagram illustrating operations and functionality of the central processing center of the invention.

pp; 130 DwgNo 34/34

Title Terms: PROTOCOL; BASED; TRADE; SYSTEM; DERIVATIVE; TRADE .

Derwent Class: T01

International Patent Class (Main): G06F-017/60

File Segment: EPI

12/5/59 (Item 53 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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011395235 **Image available**

WPI Acc No: 1997-373142/199734

XRPX Acc No: N97-309823

Secure anonymous data exchange method for electronic commerce using computer network - using anonymous re-mailers and public key certifiers to handle commercial offers and bids in secure and anonymous manner

Patent Assignee: INT BUSINESS MACHINES CORP (IBM C)

Inventor: HAUSER R C; TSUDIK G

Number of Countries: 019 Number of Patents: 008

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 9725801	A1	19970717	WO 96IB25	A	19960112	199734 B
EP 876722	A1	19981111	EP 96900050	A	19960112	199849
			WO 96IB25	A	19960112	
JP 11509354	W	19990817	WO 96IB25	A	19960112	199943
			JP 97525020	A	19960112	
US 6061789	A	20000509	WO 96IB25	A	19960112	200030
			US 98101230	A	19980702	
EP 876722	B1	20020403	EP 96900050	A	19960112	200230
			WO 96IB25	A	19960112	
DE 69620460	E	20020508	DE 620460	A	19960112	200238
			EP 96900050	A	19960112	
			WO 96IB25	A	19960112	
JP 3346772	B2	20021118	WO 96IB25	A	19960112	200279
			JP 97525020	A	19960112	
ES 2174050	T3	20021101	EP 96900050	A	19960112	200281 N

Priority Applications (No Type Date): WO 96IB25 A 19960112

Cited Patents: 3.Jnl.Ref

Patent Details:

Patent No Kind Lan Pg Main IPC Filing Notes

WO 9725801 A1 E 34 H04L-009/32

Designated States (National): JP US

Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT LU MC NL
PT SE

EP 876722 A1 E Based on patent WO 9725801
Designated States (Regional): CH DE ES FR GB IT LI NL
JP 11509354 W 36 G06F-015/00 Based on patent WO 9725801
US 6061789 A G09C-003/00 Based on patent WO 9725801
EP 876722 B1 E H04L-009/32 Based on patent WO 9725801
Designated States (Regional): CH DE ES FR GB IT LI NL
DE 69620460 E H04L-009/32 Based on patent EP 876722
Based on patent WO 9725801
JP 3346772 B2 16 H04L-009/32 Previous Publ. patent JP 11509354
Based on patent WO 9725801
ES 2174050 T3 H04L-009/32 Based on patent EP 876722

Abstract (Basic): WO 9725801 A

The network management system for electronic commerce uses a technical process to exchange offers and bids. The process relies on the use of existing **anonymous** remailers and public key certification systems. Initially the consumer issues an offer by sending a plain message via **anonymous** re-mailer to interested parties. The message includes a digital signature.

A merchant receiving the offer and decides if a bid is required. The merchant can return a bid, again via an **anonymous** re-mailer, and include the merchants digital signature. The consumer can match the received bid details with the offer and if acceptable can use direct or **anonymous** acceptance of the offer.

ADVANTAGE - For private **electronic** commerce **transactions** making use of existing **anonymous** and **security** systems.

Dwg.2B/3

Title Terms: SECURE; DATA; EXCHANGE; METHOD; ELECTRONIC; COMPUTER; NETWORK; PUBLIC; KEY; HANDLE; COMMERCIAL; OFFER; BID; SECURE; MANNER

Derwent Class: P85; T01; T05; W01

International Patent Class (Main): G06F-015/00; G09C-003/00; H04L-009/32

International Patent Class (Additional): G06F-017/60 ; G06F-019/00;

G07F-007/10; G09C-001/00

File Segment: EPI; EngPI

12/5/60 (Item 54 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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010443435 **Image available**

WPI Acc No: 1995-344754/199544

XRPX Acc No: N95-257638

Computerised stock exchange trading system - monitors and displays list of stocks and records prices on spread-sheet which generates share order when composite price of list of stocks conforms to predetermined parameters

Patent Assignee: BELZBERG S H (BELZ-I); BELZBERG FINANCIAL MARKETS & NEWS INT IN (BELZ-N)

Inventor: BELZBERG S H

Number of Countries: 063 Number of Patents: 014

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 9526005	A1	19950928	WO 95CA123	A	19950303	199544 B
AU 9517520	A	19951009	AU 9517520	A	19950303	199603
CA 2119921	A	19950924	CA 2119921	A	19940323	199604
NO 9603951	A	19961121	WO 95CA123	A	19950303	199705
			NO 963951	A	19960920	

EP 752135	A1	19970108	EP 95910376	A	19950303	199707
			WO 95CA123	A	19950303	
BR 9507141	A	19970930	BR 957141	A	19950303	199748
			WO 95CA123	A	19950303	
HU 74896	T	19970228	WO 95CA123	A	19950303	199748
			HU 962581	A	19950303	
JP 10500788	W	19980120	JP 95524261	A	19950303	199813
			WO 95CA123	A	19950303	
KR 97701889	A	19970412	WO 95CA123	A	19950303	199817
			KR 96705253	A	19960923	
EP 752135	B1	19990203	EP 95910376	A	19950303	199910
			WO 95CA123	A	19950303	
AU 9894196	A	19990204	AU 9517520	A	19950303	199917
			AU 9894196	A	19981127	
DE 69507693	E	19990318	DE 607693	A	19950303	199917
			EP 95910376	A	19950303	
			WO 95CA123	A	19950303	
US 6134535	A	20001017	WO 95CA123	A	19950303	200054
			US 96716389	A	19960919	
CN 1147308	A	19970409	CN 95192804	A	19950303	200108

Priority Applications (No Type Date): CA 2119921 A 19940323

Cited Patents: EP 401203; EP 453150; WO 9114231

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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WO 9526005	A1	E	28	G06F-017/60	
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Designated States (National): AM AT AU BB BG BR BY CA CH CN CZ DE DK EE ES FI GB GE HU JP KE KG KP KR KZ LK LR LT LU LV MD MG MN MW MX NL NO NZ PL PT RO RU SD SE SG SI SK TJ TT UA UG US UZ VN

Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT KE LU MC MW NL OA PT SD SE SZ UG

AU 9517520	A			G06F-017/60	Based on patent WO 9526005
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CA 2119921	A			G06F-015/20	
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NO 9603951	A			G06F-017/60	
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EP 752135	A1	E	28	G06F-017/60	Based on patent WO 9526005
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Designated States (Regional): AT BE CH DE DK ES FR GB GR IT LI LU MC NL SE

BR 9507141	A			G06F-017/60	Based on patent WO 9526005
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HU 74896	T			G06F-017/60	Based on patent WO 9526005
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JP 10500788	W		19	G06F-017/60	Based on patent WO 9526005
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KR 97701889	A			G06F-017/60	Based on patent WO 9526005
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EP 752135	B1	E		G06F-017/60	Based on patent WO 9526005
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Designated States (Regional): AT BE CH DE DK ES FR GB GR IT LI LU MC NL SE

AU 9894196	A			G06F-017/60	Div ex application AU 9517520
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DE 69507693	E			G06F-017/60	Based on patent EP 752135
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Based on patent WO 9526005

US 6134535	A			G06F-017/60	Based on patent WO 9526005
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CN 1147308	A			G06F-017/60	
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Abstract (Basic): WO 9526005 A

The **computerised stock exchange trading** system includes a graphic **user** interface with a mouse and display which is used to select parameters e.g. share symbol, price selection, order size and transaction type together with other indicators to launch a trading order to the data entry system of a stock exchange computer.

The system also includes a programmed interface by which data on a group of shares may be read from a spreadsheet formulated into an order and launched automatically or in response to a **signal** from an operator so as to trade an index or basket of shares instantaneously.

USE/ADVANTAGE - Purchase and sale of **stock** and shares traded on

stock exchange instantaneously. Enables multiple share order entries to be executed automatically within seconds by trader /operator by activating few entries on keyboard.

Dwg.4/4

Title Terms: COMPUTER; STOCK; EXCHANGE; TRADE; SYSTEM; MONITOR; DISPLAY; LIST; STOCK; RECORD; PRICE; GENERATE; SHARE; ORDER; COMPOSITE; PRICE; LIST; STOCK; CONFORM; PREDETERMINED; PARAMETER

Derwent Class: T01

International Patent Class (Main): G06F-015/20; G06F-017/60

File Segment: EPI

12/5/61 (Item 55 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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010383657 **Image available**

WPI Acc No: 1995-284971/199538

Related WPI Acc No: 1997-228844

XRPX Acc No: N95-216977

Performing financial transactions using smart card - checking whether security keys of two cards match before unlocking to allow financial transactions

Patent Assignee: AT & T CORP (AMTT); AMERICAN TELEPHONE & TELEGRAPH CO (AMTT); AT & T IPM CORP (AMTT)

Inventor: CLAUS D M

Number of Countries: 010 Number of Patents: 010

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
EP 668579	A2	19950823	EP 95300665	A	19950202	199538 B
CA 2138829	A	19950809	CA 2138829	A	19941222	199544
US 5461217	A	19951024	US 94194186	A	19940208	199548
BR 9500433	A	19951017	BR 95433	A	19950203	199550
JP 7319982	A	19951208	JP 9520357	A	19950208	199607
JP 7319983	A	19951208	JP 9520357	A	19950208	199607
			JP 95101548	A	19950208	
CN 1120203	A	19960410	CN 95101908	A	19950206	199744
CA 2138829	C	19990810	CA 2138829	A	19941222	199952
EP 668579	B1	20030910	EP 95300665	A	19950202	200360
DE 69531711	E	20031016	DE 631711	A	19950202	200376
			EP 95300665	A	19950202	

Priority Applications (No Type Date): US 94194186 A 19940208

Cited Patents: No-SR.Pub

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
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EP 668579	A2	E	22	G07F-007/10	
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Designated States (Regional): DE ES FR GB IT

CA 2138829	A			G06F-015/30	
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US 5461217	A		19	G06K-005/00	
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BR 9500433	A			G06F-017/60	
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JP 7319982	A		20	G06F-019/00	
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JP 7319983	A		21	G06F-019/00	Div ex application JP 9520357
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CN 1120203	A			G06F-017/60	
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CA 2138829	C	E		G06F-017/60	
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EP 668579	B1	E		G07F-007/10	
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Designated States (Regional): DE ES FR GB IT

DE 69531711	E			G07F-007/10	Based on patent EP 668579
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Abstract (Basic): EP 668579 A

The method of performing financial transactions involves storing an **electronic** representation of a monetary value on several smart cards.

One of the cards is equipped with an **electronic security** lock. In the locked state the smart card is disabled from participating in a financial **transaction**. The smart cards have **security** keys. **Security** keys of two smart cards are compared to generate a match **signal** or a no-match **signal**. If the keys match then the card is unlocked. If they do not match then the card is locked. Monetary values are transferred between smart cards and between smart cards and a bank.

USE/ADVANTAGE - For point of sale. Improved security due to lock. Can provide **customer** anonymity on request.

Dwg.1/7

Title Terms: PERFORMANCE; FINANCIAL; TRANSACTION; SMART; CARD; CHECK; SECURE; KEY; TWO; CARD; MATCH; UNLOCK; ALLOW; FINANCIAL; TRANSACTION
Derwent Class: T01; T04; T05
International Patent Class (Main): G06F-015/30; **G06F-017/60**; G06F-019/00; G06K-005/00; G07F-007/10
International Patent Class (Additional): G06F-157/00; G06K-017/00; G06K-019/067; G06K-019/07
File Segment: EPI

12/5/62 (Item 56 from file: 350)

DIALOG(R)File 350:Derwent WPIX
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009565338 **Image available**
WPI Acc No: 1993-258886/199332
Related WPI Acc No: 1998-506245
XRPX Acc No: N93-199133

Credit management for electronic brokerage system - uses computer communication network connecting traders in financial instruments for circulating anonymous price quotation based on established credit limits

Patent Assignee: CITICORP DEALING RESOURCES INC (CITI-N); FOREIGN EXCHANGE TRANSACTION SERVICES (FORE-N); EBS DEALING RESOURCES INC (EBS-D-N)

Inventor: DUNNE M F; HARTHEIMER R; TOGHER M

Number of Countries: 022 Number of Patents: 012

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
WO 9315467	A1	19930805	WO 93US916	A	19930202	199332 B
AU 9336054	A	19930901	AU 9336054	A	19930202	199350
EP 625275	A1	19941123	EP 93904823	A	19930202	199445
			WO 93US916	A	19930202	
US 5375055	A	19941220	US 92830408	A	19920203	199505
AU 658490	B	19950413	AU 9336054	A	19930202	199524
JP 7506916	W	19950727	JP 93513493	A	19930202	199538
			WO 93US916	A	19930202	
EP 625275	B1	19970416	EP 93904823	A	19930202	199720
			WO 93US916	A	19930202	
DE 69309905	E	19970522	DE 609905	A	19930202	199726
			EP 93904823	A	19930202	
			WO 93US916	A	19930202	
ES 2103467	T3	19970916	EP 93904823	A	19930202	199744
SG 46664	A1	19980220	SG 967621	A	19930202	199822
CA 2129250	C	19990608	CA 2129250	A	19930202	199941
			WO 93US916	A	19930202	
US 6014627	A	20000111	US 92830408	A	19920203	200010
			US 94324843	A	19941018	
			US 96665594	A	19960618	

Priority Applications (No Type Date): US 92830408 A 19920203; US 94324843 A

19941018; US 96665594 A 19960618
 Cited Patents: Jnl.Ref; EP 399850; EP 512702; US 4942616
 Patent Details:
 Patent No Kind Lan Pg Main IPC Filing Notes
 WO 9315467 A1 E 36 G06F-015/24
 Designated States (National): AU CA JP US
 Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT LU MC NL
 PT SE
 US 6014627 A G06F-019/00 Cont of application US 92830408
 Cont of application US 94324843
 Cont of patent US 5375055
 AU 9336054 A G06F-015/24 Based on patent WO 9315467
 EP 625275 A1 E 2 G06F-015/24 Based on patent WO 9315467
 Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT LI LU MC
 NL PT SE
 US 5375055 A 16 G06F-015/21
 AU 658490 B G06F-015/24 Previous Publ. patent AU 9336054
 Based on patent WO 9315467
 JP 7506916 W 17 G06F-017/60 Based on patent WO 9315467
 EP 625275 B1 E 24 G06F-017/60 Based on patent WO 9315467
 Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT LI LU MC
 NL PT SE
 DE 69309905 E G06F-017/60 Based on patent EP 625275
 Based on patent WO 9315467
 ES 2103467 T3 G06F-017/60 Based on patent EP 625275
 CA 2129250 C E G06F-017/60 Based on patent WO 9315467
 SG 46664 A1 G06F-015/24

Abstract (Basic): WO 9315467 A

An **anonymous** trading system for trading in financial instruments e.g. foreign currencies between several trading floors with terminals (WS) on each floor circulates bid and/or offer prices to and from those counter-parties with which each floor is eligible to deal. It also maintains the anonymity of the potential counter-party and the confidentiality of any specific credit limitations (MAN,ARB) imposed by the **anonymous** counter-party. Dealable price information (MD) based on the above is calculated and passed to the terminals on at least one floor where the level of credit is currently available on a bilateral basis both from and to that floor.

ADVANTAGE - Sensitive client credit limit data is kept secure by being stored only at access node associated with client and only yes/no indication of whether client is willing to transact business with partic. counter-party is transmitted to other nodes of network.

Dwg.1/6

Title Terms: CREDIT; MANAGEMENT; ELECTRONIC; SYSTEM; COMPUTER; COMMUNICATE; NETWORK; CONNECT; FINANCIAL; INSTRUMENT; CIRCULATE; PRICE; QUOTATION; BASED; ESTABLISH; CREDIT; LIMIT

Derwent Class: T01

International Patent Class (Main): G06F-015/21; G06F-015/24; **G06F-017/60** ; G06F-019/00

International Patent Class (Additional): G06F-019/00

File Segment: EPI

12/5/63 (Item 57 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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004702297

WPI Acc No: 1986-205639/198632

XRPX Acc No: N86-153400

Bode Akintola24-Feb-04

Data processing system for automated securities market - validates transaction orders against stored data and updates data-base stock etc.

Patent Assignee: LYNCH M PIERCE (LYNC-N); MERRILL LYNCH PIERCE FENNER (MERR-N); MERRILL LYNCH PIERCE FENNER & SMITH INC (MERR-N)

Inventor: KALMUS L P; MOTT B; STAMPFER J; TROJAN D R; STAMPFER J

Number of Countries: 004 Number of Patents: 006

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
DE 3539545	A	19860731	DE 3539545	A	19851107	198632 B
GB 2180380	A	19870325	GB 8527346	A	19851106	198712
US 4674044	A	19870616	US 85696407	A	19850130	198726
CH 670716	A	19890630				198930
GB 2180380	B	19891122	GB 8527346	A	19850130	198947
DE 3539545	C2	19950824	DE 3539545	A	19851107	199538

Priority Applications (No Type Date): US 85696407 A 19850130

Patent Details:

Patent No	Kind	Lan Pg	Main IPC	Filing Notes
DE 3539545	A	32		
DE 3539545	C2	15	G06F-017/60	

Abstract (Basic): DE 3539545 A

The processing system has at least one security for starting an orderly market with the system **user** acting as principal. It has an arrangement for receiving transaction orders from **clients** for one or more securities. Orders contain share identification fields showing the transaction as a purchase or sale and a certain number of transaction components.

The system stores order validation parameters and security data such as amount of stock, cost and profit. A transaction order is validated when the received order fields do not conflict with the stored notification and validation parameters. When the transaction has been performed the stock and other parameters are updated as appropriate.

USE/ADVANTAGE - **Automated** start-up of a market in one or more **securities** . Validation and performance of **automated security transactions** . (32pp Dwg.No.0/5)

Title Terms: DATA; PROCESS; SYSTEM; AUTOMATIC; SECURE; MARKET; VALID; TRANSACTION; ORDER; STORAGE; DATA; UPDATE; DATA; BASE; STOCK

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

International Patent Class (Additional): G06F-015/21

File Segment: EPI

Set	Items	Description
S1	175	AU=(SHAW D? OR SHAW, D? OR KOSOFSKY, D? OR KOSOFSKY D?)
S2	945080	TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BUYING OR ORDER? OR TRADES OR TRADE
S3	308717	SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL- () INSTRUMENT?
S4	71771	ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5	570764	ALERT? OR WARN? OR SIGNAL? OR FLAG? OR TRIGGER?
S6	305166	DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIENT? OR INVESTOR? OR PARTICIPANT?
S7	817642	COMPUTER? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR ONLINE OR ON() LINE OR WEB? OR INTERNET? OR WWW
S8	9393	S2(3N)S3
S9	1233	S8(5N)S7
S10	83	S9(S)S5
S11	465	S9(20N)S6
S12	10	S11(25N)S4
S13	11	S10(S)S4
S14	19	S12 OR S13
S15	3	S1 AND S9
S16	22	S14 OR S15
S17	22	S16 AND IC=G06F?

? show file

File 348:EUROPEAN PATENTS 1978-2004/Feb W03

(c) 2004 European Patent Office

File 349:PCT FULLTEXT 1979-2002/UB=20040219,UT=20040212

(c) 2004 WIPO/Univentio

17/3,K/1 (Item 1 from file: 348)
DIALOG(R) File 348:EUROPEAN PATENTS
(c) 2004 European Patent Office. All rts. reserv.

01417629

Payment roaming - payments through various network institutions without regards to time or locations of the payment appliances

Zahlungsroaming - Zahlungen durch mehrere Netzwerkinstitutionen unabhängig vom Zeitpunkt und Ort der Zahlungseinrichtungen

Paieient itinerant - Paiement a travers des reseaux de plusieurs institutions independemment de l'heure et de la localisation des terminals de paiement

PATENT ASSIGNEE:

Hewlett-Packard Company, A Delaware Corporation, (3016020), 3000 Hanover Street, Palo Alto, CA 94304, (US), (Applicant designated States: all)

INVENTOR:

Villaret, Jean-Marc, 1 Place Gambetta, 75020 Paris, (FR)

Taylor, William Stuart, 10413 B Merriman Road, Cupertino, CA 95014, (US)

Ritschel, Kevin, 579 Giant Way, San Jose, CA 95137, (US)

LEGAL REPRESENTATIVE:

Schoppe, Fritz, Dipl.-Ing. (55463), Schoppe, Zimmermann, Stockeler & Zinkler Patentanwalte Postfach 246, 82043 Pullach bei Munchen, (DE)

PATENT (CC, No, Kind, Date): EP 1197928 A2 020417 (Basic)

EP 1197928 A3 040128

APPLICATION (CC, No, Date): EP 2001124448 011011;

PRIORITY (CC, No, Date): US 688270 001011

DESIGNATED STATES: AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LI;

LU; MC; NL; PT; SE; TR

EXTENDED DESIGNATED STATES: AL; LT; LV; MK; RO; SI

INTERNATIONAL PATENT CLASS: G07F-007/10; G07F-019/00; G06F-017/60

ABSTRACT WORD COUNT: 125

NOTE:

Figure number on first page: 1

LANGUAGE (Publication,Procedural,Application): English; English; English

FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200216	753
SPEC A	(English)	200216	4871
Total word count - document A			5624
Total word count - document B			0
Total word count - documents A + B			5624

...INTERNATIONAL PATENT CLASS: G06F-017/60

...SPECIFICATION community. Consequently, customers of non-members may not use appliances of members. Further, because a **customer** may use an **unknown** payment appliance 1044 in public to make payments, trust and **security** are considered in **transactions** using **network** 100 of FIG. 1. As trust and security are established between members of the payment...

17/3,K/2 (Item 1 from file: 349)
DIALOG(R) File 349:PCT FULLTEXT
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01056423

DERIVATIVES HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR

PRODUITS DERIVES PRESENTANT DES RENDEMENTS AJUSTABLES BASES SUR LA DEMANDE

ET ECHANGES COMMERCIAUX ASSOCIES

Patent Applicant/Assignee:

LONGITUDE INC, 650 Fifth Avenue, New York, NY 10019, US, US (Residence),
US (Nationality)

Inventor(s):

LANGE Jeffrey, 3 East 84th Street, Apt. 3, New York, NY 10028, US,
BARON Kenneth, 51 West 86th Street, Apt. 602, New York, NY 10024, US,

Legal Representative:

WEISS Charles A (et al) (agent), Kenyon & Kenyon, One Broadway, New York,
NY 10004, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200385491 A2 20031016 (WO 0385491)

Application: WO 2003US7990 20030313 (PCT/WO US0307990)

Priority Application: US 2002115505 20020402

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU

CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP

KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO

RU SC SD SE SG SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PT RO SE
SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 136258

Main International Patent Class: **G06F**

Fulltext Availability:

Claims

Claim

17/3,K/3 (Item 2 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00925642 **Image available**

METHOD AND SYSTEM OF ANONYMOUSLY TRADING SECURITIES ON-LINE

**PROCEDE ET SYSTEME PERMETTANT DE NEGOCIER DES TITRES EN LIGNE DE FACON
ANONYME**

Patent Applicant/Assignee:

BONDMART TECHNOLOGIES INC, 2421 Broadway, 2nd Floor, Redwood City, CA
94063, US, US (Residence), US (Nationality)

Inventor(s):

BOWLES Mark E, 30 Tripp Court, Woodside, CA 94062, US,
TADDEO Nicholas J, 61 Willow Road, Menlo Park, CA 94025, US,

Legal Representative:

MORGAN LEWIS & BOCKIUS LLP (agent), Boswell, MaryJane, 1111 Pennsylvania
Avenue, NW, Washington, DC 20004, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200259711 A2-A3 20020801 (WO 0259711)

Application: WO 2001US44235 20011128 (PCT/WO US0144235)

Priority Application: US 2000722622 20001128

Designated States: CA JP

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

Publication Language: English

Filing Language: English

Fulltext Word Count: 8845

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

METHOD AND SYSTEM OF **ANONYMOUSLY** TRADING SECURITIES ON-LINE

BACKGROUND OF THE INVENTION

Field of the Invention

The present invention relates to a method and system of **on - line trading of securities** , and more particularly, to a method and system of **on - line trading debt securities anonymously** among a plurality of **investors** .

Discussion of the Related Art

Advances in computer processing power and network communications have made...

17/3,K/4 (Item 3 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00894463

METHOD AND SYSTEM FOR THE ELECTRONIC NEGOTIATION AND EXECUTION OF EQUITY
BLOCK TRADES FOR INSTITUTIONAL INVESTORS

SYSTEME ET PROCEDE DE NEGOCIATION ELECTRONIQUE ET D'EXECUTION DE
TRANSACTIONS DE BLOCS D'ACTIONS DESTINES A DES INVESTISSEURS
INSTITUTIONNELS

Patent Applicant/Assignee:

D E SHAW & CO INC, 120 West 45 Street, New York, NY 10036, US, US

(Residence), US (Nationality)

Inventor(s):

GIANAKOUROS Nicholas P, 371 East Lincoln Avenue, Cranford, NJ 07016, US,

SHAW David E , 120 West 45th Street, New York, NY 10036, US

Legal Representative:

MUDGE Brian S (et al) (agent), Kenyon & Kenyon, Suite 700, 1500 K Street,
N.W., Washington, DC 20005, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200227606 A2 20020404 (WO 0227606)

Application: WO 2001US29964 20010926 (PCT/WO US0129964)

Priority Application: US 2000234927 20000926

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU

CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP

KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PH PL PT RO RU

SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 12491

Inventor(s):

... **SHAW David E**

Main International Patent Class: G06F-017/60

Fulltext Availability:

Claims

Claim

... limit;
a maximum quantity of said financial instrument to be traded;
a maximum frequency for **trades** in said **financial instrument** ;
an instruction permitting **automatic** trading via standing instructions;
and a designation of said trading alert as being inactive.
8...limit;
a maximum quantity of said financial instrument to be traded;
a maximum frequency for **trades** in said **financial instrument** ;
an instruction permitting **automatic** trading via standing instructions;
and a designation of said trading alert as being inactive.

35...

17/3,K/5 (Item 4 from file: 349)
DIALOG(R) File 349:PCT FULLTEXT
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00868219

CREDIT LIMIT STORAGE IN AN ANONYMOUS TRADING SYSTEM
ENREGISTREMENT DES LIMITES DE CREDIT DANS UN SYSTEME DE NEGOCIATION ANONYME

Patent Applicant/Assignee:

ELECTRONIC BROKING SERVICES LIMITED, 55-56 Lincolns Inn Fields, London
WC2A 3LJ, GB, GB (Residence), GB (Nationality)

Inventor(s):

HOWORKA Edward R, 2043 Gates Court, Morris Plains, NJ 07950, US,
JAIN Neena, 3756 Victory Street, South Plainfield, NJ 07080, US,
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NEYMAN Vladimir, 275 Northfield Avenue, West Orange, NJ 07052, US,
SHU James, 42 Tilden Drive, East Hanover, NJ 07936, US,
MEROLD Michael S, 14 Walkill Road, Sparta, NJ 07871, US,
CRANE Alastair G, 16 Manley Street, Primrose Hill, London NW1 8LT, GB,
KRISHNASAMI Srivathsan, Apt. 6D, 528 East 79th Street, New York, NY 10021
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MCPHERSON Roy S, 39 Dorset Way, Billericay, Essex CM12 0UD, GB,

GINSBERG Paul M, 44 Huckleberry Hollow, Stamford, CT 06903, US,

MILLS Gregory D, 24 Carlton Road, Clanders, NJ 07836, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200201437 A2 20020103 (WO 0201437)

Application: WO 2001IB1468 20010622 (PCT/WO IB0101468)

Priority Application: US 2000602496 20000623

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU

CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR

KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE

SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 14699

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... allocations can be transferred

between credit brckers.

In one preferred embodiment of the invention, an

automated trading system for anonymous trading of instruments, including financial instruments, comprises a computer communications network having a plurality of interconnected broking nodes which are connected to one or more trader terminals comprising a trading floor. Each broking

17/3,K/6 (Item 5 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00865387 **Image available**

COMPOUND ORDER HANDLING IN AN ANONYMOUS TRADING SYSTEM

GESTION DES ORDRES COMPOSES DANS LE CADRE D'UN SYSTEME DE TRANSACTION ANONYME

Patent Applicant/Assignee:

ELECTRONIC BROKING SERVICES LIMITED, 55-56 Lincolns Inn Fields, London WC2A 3LJ, GB, GB (Residence), GB (Nationality)

Inventor(s):

NEYMAN Vladimir, 275 Northfield Avenue, West Orange, NJ 07052, US,
IACCHEO Steven, 41 West William Street, Lincoln Park, NJ 07035, US,
JAIN Neena, 3756 Victory Street, South Plainfield, NJ 07080, US,
SHU James, 42 Tilden Drive, East Hanover, NJ 07936, US,
HOWORKA Edward R, 2043 Gates Court, Morris Plains, NJ 07950, US,
FORWAY Andrew, 21 New Street, Wayne, NJ 07470, US,
MEROLD Michael S, 14 Walkill Road, Sparta, NJ 07871, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200198963 A2 20011227 (WO 0198963)

Application: WO 2001IB1476 20010622 (PCT/WO IB0101476)

Priority Application: US 2000603389 20000623

Designated States: AU CN JP SG

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

Publication Language: English

Filing Language: English

Fulltext Word Count: 13013

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... of the invention to provide

a system which can synthesise currency pair prices and permit traders to hit those synthetic prices.

An embodiment of the invention provides an anonymous trading system for trading financial instruments between traders comprising a communications network for transmitting electronic messages. A plurality of trader terminals are connected to the communications network each for generating electronic order messages including bid...

17/3,K/7 (Item 6 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00815114 **Image available**

METHOD AND SYSTEM FOR REBROKERING ORDERS IN A TRADING SYSTEM

PROCEDE ET SYSTEME DESTINES A RENEGOCIER DES ORDRES DANS UN SYSTEME D'ECHANGE

Patent Applicant/Assignee:

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US, US (Residence), US (Nationality)

Inventor(s):

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Legal Representative:

OSTROW Seth H (et al) (agent), Brown Raysman Millstein Felder & Steiner
LLP, 120 W. 45th Street, New York, NY 10036, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200148668 A1 20010705 (WO 0148668)

Application: WO 2000US35492 20001228 (PCT/WO US0035492)

Priority Application: US 99173581 19991229; US 2000178049 20000124; US
2000201599 20000503; US 2000706678 20001106

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE

DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC

LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI

SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 24404

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... reference to the 25 drawings in the Figures. The primary embodiments described below include a computerized trading system for the trading of bonds among parties using broker dealers as intermediaries.

The system contains software and data structures which, among other things, support anonymous trading through broker dealers, allow parties to have a high degree of control over the...

17/3,K/8 (Item 7 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00806389

SCHEDULING AND PLANNING BEFORE AND PROACTIVE MANAGEMENT DURING MAINTENANCE AND SERVICE IN A NETWORK-BASED SUPPLY CHAIN ENVIRONMENT

PROGRAMMATION ET PLANIFICATION ANTICIPEE, ET GESTION PROACTIVE AU COURS DE LA MAINTENANCE ET DE L'ENTRETIEN D'UN ENVIRONNEMENT DU TYPE CHAINE D'APPROVISIONNEMENT RESEAUTEE

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Boulevard, Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 38th Floor,
2029 Century Park East, Los Angeles, CA 90067-3024, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139082 A2 20010531 (WO 0139082)
Application: WO 2000US32228 20001122 (PCT/WO US0032228)
Priority Application: US 99447625 19991122; US 99444889 19991122
Designated States: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES
FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD
MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ
VN YU ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 152479

Main International Patent Class: G06F-017/16

Fulltext Availability:
Detailed Description

Detailed Description

... systems are known, although virtually none implement complex pricing policies.

Many systemis, especially in the **stock** brokerage area, will provide market pricing of **stocks** .

While these systems can accomodate a continually changing price situation, the actual pricing, of course...

17/3,K/9 (Item 8 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT
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00806384

NETWORK AND LIFE CYCLE ASSET MANAGEMENT IN AN E-COMMERCE ENVIRONMENT AND
METHOD THEREOF

GESTION D'ACTIFS DURANT LE CYCLE DE VIE ET EN RESEAU DANS UN ENVIRONNEMENT
DE COMMERCE ELECTRONIQUE ET PROCEDE ASSOCIE

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 38th Floor,
2029 Century Park East, Los Angeles, CA 90067-3024, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139030 A2 20010531 (WO 0139030)

Application: WO 2000US32324 20001122 (PCT/WO US0032324)

Priority Application: US 99444775 19991122; US 99447621 19991122

Designated States: AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK
DZ EE ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT
LU LV MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR
TT UA UG UZ VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 171499

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... in an interactive customer support scenario-, Figure 118 illustrates an exemplary security architecture in a **customer** support scenario; Figure 119 depicts a sample architecture in an **online** banking scenario; Figure 120 shows an exemplary **security** architecture in an **online** banking scenario; Figure 121 illustrates a sample architecture in an online shopping scenario; Figure 122...of conventions for using networks that allow the computers they reach to interact. Physically, the **Internet** is a huge, global **network** spanning over 92 countries and comprising 59,000 academic, commercial, government, and military networks, according...

17/3,K/10 (Item 9 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00806383

COLLABORATIVE CAPACITY PLANNING AND REVERSE INVENTORY MANAGEMENT DURING DEMAND AND SUPPLY PLANNING IN A NETWORK-BASED SUPPLY CHAIN ENVIRONMENT AND METHOD THEREOF

PLANIFICATION EN COLLABORATION DES CAPACITES ET GESTION ANTICIPEE DES STOCKS LORS DE LA PLANIFICATION DE L'OFFRE ET DE LA DEMANDE DANS UN ENVIRONNEMENT DE CHAINE D'APPROVISIONNEMENT FONDEE SUR LE RESEAU ET PROCEDE ASSOCIE

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 1400 Page Mill Road, Palo Alto, CA 94304, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139029 A2 20010531 (WO 0139029)

Application: WO 2000US32309 20001122 (PCT/WO US0032309)

Priority Application: US 99444655 19991122; US 99444886 19991122

Designated States: AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE

DK DM DZ EE ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR

LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL

TJ TM TR TT TZ UA UG UZ VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 157840

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... to devise intelligent network solutions for this data traffic (example RAS with SS7 gateway) in **order** to solve two major challenges: 1) off loading data traffic from the voice infrastructure to...then classify future records, referred to as test data, for which the class labels are **unknown** .

As an example, consider the case where a credit card company which has a large...

17/3,K/11 (Item 10 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

(c) 2004 WIPO/Univentio. All rts. reserv.

00805499 **Image available**

METHOD FOR PROVIDING ON-LINE BROKERAGE SERVICES TO INSTITUTIONS

PROCEDE POUR OFFRIR DES SERVICES DE COURTAGE EN LIGNE AUX INSTITUTIONS

Patent Applicant/Assignee:

BLUESTONE CAPITAL PARTNERS L P, 59 Maiden Lane, New York, NY 10038, US,
US (Residence), US (Nationality), (For all designated states except:
US)

Patent Applicant/Inventor:

MUSTAFA Kamal, 7 Wildwood Drive, North Caldwell, NJ 07006, US, US
(Residence), US (Nationality), (Designated only for: US)

HILL Jeremy, 853 Seventh Avenue, Apt. 6E, New York, NY 10019, US, US
(Residence), US (Nationality), (Designated only for: US)

Legal Representative:

KAPPEL Cary S (agent), Davidson, Davidson & Kappel, LLC, 15th Floor, 1140
Avenue of the Americas, New York, NY 10036, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200139094 A1 20010531 (WO 0139094)

Application: WO 2000US41767 20001102 (PCT/WO US0041767)

Priority Application: US 99164178 19991109; US 2000487438 20000119

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ

DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ

LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG

SI SK SL TJ TM TR TT UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 3990

Main International Patent Class: **G06F-017/60**

Fulltext Availability:

Detailed Description

Detailed Description

... many fin-ns,

such SCHWAB.COM, E*TRADE, TRADE.COM and MERRILL LYNCH

permit individual **investors** to buy and **sell** U.S. **stocks** or bonds
on - line , for

example over the Internet. The orders are placed using an HTML graphic
interface at a **client** computer of the **client** , and are sent

electronically over the Internet to a server of the brokerage firm. An
on-line equities broker, often **unknown** to the client, reviews the order
for compliance, and then the order is executed through...

17/3,K/12 (Item 11 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
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00803566 **Image available**

**METHOD AND APPARATUS FOR THE RECEIPT, COMBINATION, AND EVALUATION OF EQUITY
PORTFOLIOS FOR EXECUTION BY A SPONSOR AT PASSIVELY DETERMINED PRICES
METHODE ET APPAREIL PERMETTANT DE RECEVOIR, COMBINER ET EVALUER DES
PORTEFEUILLES DE PARTICIPATIONS EN CAPITAL POUR EXECUTION PAR UN
COMMANDITAIRE A DES PRIX DETERMINES DE MANIERE PASSIVE**

Patent Applicant/Assignee:

D E SHAW & CO INC, 39th floor, 120 West 45th Street, New York, NY 10036,
US, US (Residence), US (Nationality)

Inventor(s):

GIANAKOUROS Nicholas P, 371 East Lincoln Avenue, Cranford, NJ 07016, US,
SHAW David E, 120 West 45th Street, New York, NY 10036, US

Legal Representative:

ROSINI James E (et al) (agent), Kenyon & Kenyon, Suite 700, 1500 K
Street, N.W., Washington, DC 20005, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200137122 A2 20010525 (WO 0137122)

Application: WO 2000US31565 20001117 (PCT/WO US0031565)

Priority Application: US 99165934 19991117

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE
DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI
SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 11613

Inventor(s):

... **SHAW David E**

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... PRICES

FIELD OF THE INVENTION

The present invention is directed to a system for the **electronic
trading of financial instruments**, and in particular, a system and
method for the receipt, combination, and evaluation of equity...

17/3,K/13 (Item 12 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00801789 **Image available**

**CELL-BASED BROKERAGE SYSTEM AND METHOD
SYSTEME ET PROCEDE DE COURTAGE A CELLULES**

Patent Applicant/Assignee:

BLUESTONE CAPITAL PARTNERS L P, 59 Maiden Lane, New York, NY 10038, US,
US (Residence), US (Nationality), (For all designated states except:
US)

Patent Applicant/Inventor:

MUSTAFA Kamal, 7 Wildwood Drive, North Caldwell, NJ 07006, US, US
(Residence), US (Nationality), (Designated only for: US)
HILL Jeremy, 853 Seventh Avenue, Apt. 6E, New York, NY 10019, US, US
(Residence), US (Nationality), (Designated only for: US)

Legal Representative:

KAPPEL Cary S (agent), Davidson, Davidson & Kappel, LLC, 15th Floor, 1140
Avenue of the Americas, New York, NY 10036, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200135313 A1 20010517 (WO 0135313)
Application: WO 2000US41783 20001102 (PCT/WO US0041783)
Priority Application: US 99164178 19991109; US 2000487112 20000119

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ

DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 8013

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... many fir-Ms, such

SCHWAB.COM, E*TRADE, TRADE.COM and MERRILL LYNCH permit
individual **investors** to buy and **sell** U.S. **stocks** or bonds over the
Internet. The orders are placed using an HTML graphic interface at a
client computer of the **client**, and are sent electronically over the
Internet to a server of the brokerage firm. An online equities broker,
often **unknown** to the client, reviews the order for compliance, and then
the order is executed through...

17/3,K/14 (Item 13 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00788823 **Image available**

METHOD AND SYSTEM FOR FACILITATING AUTOMATED INTERACTION OF MARKETABLE
RETAIL ORDERS AND PROFESSIONAL TRADING INTEREST AT PASSIVELY DETERMINED
PRICES

PROCEDE ET SYSTEME PERMETTANT DE FACILITER L'INTERACTION INFORMATISEE DES
ORDRES DE NEGOCIATION DES PARTICULIERS ET DE LA PARTICIPATION AU MARCHE
PROFESSIONNEL A DES COURS DETERMINEES DE FACON PASSIVE

Patent Applicant/Assignee:

D E SHAW & CO INC, 120 West 45th Street, 39th Floor, New York, NY 10036,
US, US (Residence), US (Nationality)

Inventor(s):

GIANAKOUIROS Nicholas P, 371 East Lincoln Avenue, Cranford, NJ 07016, US,
SHAW David E, 120 West 45th Street, New York, NY 10036, US

Legal Representative:

ROSINI James E (et al) (agent), Kenyon & Kenyon, Suite 700, 1500 K
Street, Washington, DC 20005, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200122339 A2 20010329 (WO 0122339)
Application: WO 2000US26299 20000925 (PCT/WO US0026299)
Priority Application: US 99155643 19990924; US 2000565444 20000505
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE
DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI
SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 31230

Inventor(s):
... **SHAW David E**
Main International Patent Class: **G06F-017/60**
Fulltext Availability:
Detailed Description

Detailed Description
... AT PASSIVELY DETERMINED
PRICES
FIELD OF THE INVENTION
The present invention is directed to a **network** for the **electronic trading of financial instruments**, and in particular, a system and method for automatically executing marketable retail orders against standing...

17/3,K/15 (Item 14 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
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00784185 **Image available**
A SYSTEM AND METHOD FOR STREAM-BASED COMMUNICATION IN A COMMUNICATION SERVICES PATTERNS ENVIRONMENT
SYSTEME, PROCEDE ET ARTICLE DE PRODUCTION FOURNISSANT UN SYSTEME DE COMMUNICATION EN CONTINU DANS UN ENVIRONNEMENT DE CONFIGURATIONS DE SERVICES DE COMMUNICATION

Patent Applicant/Assignee:
ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):
BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918, US,

Legal Representative:
HICKMAN Paul L (agent), Hickman Coleman & Hughes, LLP, P.O. Box 52037, Palo Alto, CA 94303-0746, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200117195 A2-A3 20010308 (WO 0117195)
Application: WO 2000US24125 20000831 (PCT/WO US0024125)
Priority Application: US 99386717 19990831

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 150532

International Patent Class: G06F-017/22 ...
Fulltext Availability:
Detailed Description

Detailed Description
... runs.

It includes components such as.

Application messaging
Batch processing architecture
Middleware
Reporting
Error handling
On - line architecture
Security
Code / decode
Data access methods
Integrated help
File transfer capabilities
Directory services
35
Load balancing...

17/3,K/16 (Item 15 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
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00784139

A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A SELF-DESCRIBING STREAM IN
A COMMUNICATION SERVICES PATTERNS ENVIRONMENT
SYSTEME, PROCEDE ET ARTICLE DE FABRICATION DESTINES A UN FLUX
D'AUTODESCRIPTEURS DANS UN ENVIRONNEMENT DE MODELES DE SERVICES DE
COMMUNICATION

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918
, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 1400 Page Mill
Road, Palo Alto, CA 94304, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200116734 A2-A3 20010308 (WO 0116734)

Application: WO 2000US23999 20000831 (PCT/WO US0023999)

Priority Application: US 99387070 19990831

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ
DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 150532

International Patent Class: G06F-017/22 ...
Fulltext Availability:
Detailed Description

Detailed Description
... runs.

It includes components such as.

Application messaging
Batch processing architecture
Middleware
Reporting
Error handling
On - line architecture
Security
Code / decode
Data access methods
Integrated help
File transfer capabilities
Directory services
35
Load balancing...

17/3,K/16 (Item 15 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00784139

**A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A SELF-DESCRIBING STREAM IN
A COMMUNICATION SERVICES PATTERNS ENVIRONMENT**
**SYSTEME, PROCEDE ET ARTICLE DE FABRICATION DESTINES A UN FLUX
D'AUTODESCRIPTEURS DANS UN ENVIRONNEMENT DE MODELES DE SERVICES DE
COMMUNICATION**

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918
, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 1400 Page Mill
Road, Palo Alto, CA 94304, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200116734 A2-A3 20010308 (WO 0116734)

Application: WO 2000US23999 20000831 (PCT/WO US0023999)

Priority Application: US 99387070 19990831

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ
DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 150517

Main International Patent Class: G06F-009/46

Fulltext Availability:

Detailed Description

Detailed Description

... a tool for decision support.

Limitations.

Limited/cost prohibitive Scalability

Limited availability

Limited reliability

65

Security Deficiencies

Network /Database bottlenecks

Low implementation flexibility

Limited Asynchronous processing

Three-Tiered or multi-tiered Architectures

Three...

17/3,K/17 (Item 16 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00784132

**A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A LEGACY WRAPPER IN A
COMMUNICATION SERVICES PATTERNS ENVIRONMENT
SYSTEME, PROCEDE ET DISPOSITIF POUR MODULE D'HABILLAGE EXISTANT DANS UN
ENVIRONNEMENT DE SCHEMAS DE SERVICES DE COMMUNICATION**

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US

(Residence), US (Nationality)

Inventor(s):

BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918
, US,

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 1400 Page Mill
Roadast, Palo Alto, CA 94304, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200116724 A2-A3 20010308 (WO 0116724)

Application: WO 2000US24084 20000831 (PCT/WO US0024084)

Priority Application: US 99386834 19990831

Designated States: AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK
DZ EE ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT
LU LV MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR
TT UA UG UZ VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 150947

Main International Patent Class: G06F-009/44
International Patent Class: G06F-009/46
Fulltext Availability:
Detailed Description

Detailed Description
... runs.

It includes components such as.

Application messaging
Batch processing architecture
Middleware
Reporting
Error handling
On - line architecture
Security
Code / decode
Data access methods
Integrated help
File transfer capabilities
Directory services
35
Load balancing...

17/3,K/18 (Item 17 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
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00784126

**SYSTEM, METHOD, AND ARTICLE OF MANUFACTURE FOR AN EXCEPTION RESPONSE TABLE
IN ENVIRONMENT SERVICES PATTERNS**
**SYSTEME, PROCEDE ET ARTICLE DE PRODUCTION DESTINES A UNE TABLE DE REPONSE
D'EXCEPTION DANS DES CONFIGURATIONS DE SERVICES D'ENVIRONNEMENT**

Patent Applicant/Assignee:

ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
(Residence), US (Nationality)

Inventor(s):

BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918
, US,

Legal Representative:

HICKMAN Paul L (et al) (agent), Oppenheimer Wolff & Donnelly LLP, 38th
Floor, 2029 century Park East, Los Angeles, CA 90067-3024, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200116706 A2-A3 20010308 (WO 0116706)
Application: WO 2000US24086 20000831 (PCT/WO US0024086)
Priority Application: US 99387873 19990831

Designated States: AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK

DZ EE ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT
LU LV MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR
TT UA UG UZ VN YU ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 150318

Main International Patent Class: G06F-009/44

Fulltext Availability:

Detailed Description

Detailed Description

... runs.

It includes components such as.

Application messaging

Batch processing architecture

Middleware

Reporting

Error handling

On - line architecture

Security

Code / decode

Data access methods

Integrated help

File transfer capabilities

Directory services

35

Load balancing...simply a tool for decision support.

Limitations.

Limited/cost prohibitive Scalability

Limited availability

Limited reliability

Security Deficiencies

Network /Database bottlenecks

Low implementation flexibility

Limited Asynchronous processing

Three-Tiered or multi-tiered Architectures

Three...

17/3,K/19 (Item 18 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00777020

A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR RESOURCE ADMINISTRATION IN AN E-COMMERCE TECHNICAL ARCHITECTURE

SYSTEME, PROCEDE ET ARTICLE MANUFACTURE POUR L'ADMINISTRATION DE RESSOURCES DANS UNE ARCHITECTURE TECHNIQUE DE COMMERCE ELECTRONIQUE

Patent Applicant/Assignee:

ACCENTURE LLP, Parkstraat 83, NL-2514 JG 'S Gravenhage, NL, NL

(Residence), NL (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

UNDERWOOD Roy A, 4436 Hearthmoor Court, Long Grove, IL 60047, US, US

(Residence), US (Nationality), (Designated only for: US)

Legal Representative:

HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, P.O. Box 52037, Palo Alto, CA 94303-0746, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200109791 A2-A3 20010208 (WO 0109791)

Application: WO 2000US20547 20000728 (PCT/WO US0020547)

Priority Application: US 99364161 19990730

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ

DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 136396

Main International Patent Class: G06F-009/46

International Patent Class: G06F-009/44 ...

... G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... the primary interface through which applications invoke Transaction Services and receive status and error information. **Transaction** Monitor Services, in conjunction with Information Access and Communication Services provide for load balancing across...

17/3,K/20 (Item 19 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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00761432

METHODS, CONCEPTS AND TECHNOLOGY FOR DYNAMIC COMPARISON OF PRODUCT FEATURES
AND CUSTOMER PROFILE

PROCEDES, CONCEPTS ET TECHNIQUE DE COMPARAISON DYNAMIQUE DE
CARACTERISTIQUES D'UN PRODUIT ET DU PROFIL DES CONSOMMATEURS

Patent Applicant/Assignee:

ACCENTURE LLP, 100 South Wacker Drive, Chicago, IL 60606, US, US

(Residence), US (Nationality)

Inventor(s):

GUHEEN Michael F, 2218 Mar East Street, Tiburon, CA 94920, US,

MITCHELL James D, 3004 Alma, Manhattan Beach, CA 90266, US,

BARRESE James J, 757 Pine Avenue, San Jose, CA 95125, US,

Legal Representative:

BRUESS Steven C (agent), Merchant & Gould P.C., P.O. Box 2903,

Minneapolis, MN 55402-0903, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200073958 A2 20001207 (WO 0073958)

Application: WO 2000US14459 20000524 (PCT/WO US0014459)

Priority Application: US 99320818 19990527

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE

DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC

LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI

SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 151011

Main International Patent Class: G06F-017/60

Fulltext Availability:
Detailed Description

Detailed Description

... users have a notoriously short concentration span.

This requirement for more attractive user interfaces has triggered the evolution of media-rich applications, the development of which requires new tools and processes...

17/3,K/21 (Item 20 from file: 349)

DIALOG(R) File 349:PCT FULLTEXT

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00757130 **Image available**

METHOD AND SYSTEM FOR ANONYMOUSLY AND CONFIDENTIALLY MATCHING CONTRAPARTIES
TO A TRANSACTION WHICH RESULTS IN HUMAN NEGOTIATION OF THE FINAL TERMS
OF A TRANSACTION

PROCEDE ET SYSTEME D'APPARIEMENT ANONYME ET CONFIDENTIEL DE CONTREPARTIES
POUR UNE TRANSACTION DEBOUCHANT SUR UNE RENCONTRE POUR NEGOCIER LES
CONDITIONS DEFINITIVES DE LA TRANSACTION

Patent Applicant/Assignee:

JEFFERIES & COMPANY INC, 11100 Santa Monica Boulevard, 11th Floor, Los
Angeles, CA 90025, US, US (Residence), US (Nationality)

Inventor(s):

SHAW John C, 12 Bluewater Hill, Westport, CT 06880, US,
HOLWAY Richard A, 89 Bacon Street, Winchester, MA 01890, US,
ALEX Mike N, 64 Barrett Lane, Wyckoff, NJ 07481, US,
NIKOLAI James D, 42 Farm Lane, Great Neck, NY 11020, US,
JOYCE Thomas P, 11 Muriel Road, Port Washington, NY 11050, US,
HILSEN RATH Saul D, 37 Weston Avenue, Chatham, NJ 07928, US,
SPEERS Daniel E, 15 Maxine Drive, Morristown, NJ 07960, US,

Legal Representative:

THESZ J Michael (agent), Morgan, Lewis & Bockius LLP, 1800 M. Street,
N.W., Washington, DC 20036-5869, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200070518 A2 20001123 (WO 0070518)

Application: WO 2000US13069 20000512 (PCT/WO US0013069)

Priority Application: US 99134207 19990514

Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE

DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC

LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK

SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW SD SL SZ TZ UG ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 7205

Main International Patent Class: G06F-017/60

Fulltext Availability:

Detailed Description

Detailed Description

... recent years. This growth, fueled in

I

part by the more prevalent use of the **Internet** by individual **investors** for **buying** and **selling securities**, and in part by the overall increase in market activity, has resulted in a variety of different computer systems that **anonymously** match buyers and sellers to execute trades. Through several well established trading systems such as...

17/3,K/22 (Item 21 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
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00344642

SYSTEMS AND METHODS FOR SECURE TRANSACTION MANAGEMENT AND ELECTRONIC RIGHTS PROTECTION

SYSTEMES ET PROCEDES DE GESTION SECURISEE DE TRANSACTIONS ET DE PROTECTION ELECTRONIQUE DES DROITS

Patent Applicant/Assignee:

ELECTRONIC PUBLISHING RESOURCES INC,

Inventor(s):

GINTER Karl L,
SHEAR Victor H,
SPAHN Francis J,
VAN WIE David M,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9627155 A2 19960906

Application: WO 96US2303 19960213 (PCT/WO US9602303)

Priority Application: US 95388107 19950213

Designated States: AL AM AT AU AZ BB BG BR BY CA CH CN CZ DE DK EE ES FI GB

GE HU IS JP KE KG KP KR KZ LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL

PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN KE LS MW SD SZ UG AZ BY

KG KZ RU TJ TM AT BE CH DE DK ES FR GB GR IE IT LU MC NL PT SE BF BJ CF

CG CI CM GA GN ML MR NE SN TD TG

Publication Language: English

Fulltext Word Count: 207972

Main International Patent Class: **G06F-001/00**

International Patent Class: **G06F-17:60**

Fulltext Availability:

Detailed Description

Detailed Description

... participants to one another.

Information utility 200 may include a "transaction processor" 200b that processes **transactions** (to transfer **electronic** fimds, for example) based on requests from participants and/or report receiver 200e. It may...

...explained above, virtual distribution environment 100

can be used to manage almost any sort of **transaction**. One type of important transaction that virtual distribution environment 100 may be used to manage...participants. As one example, 'rules and controls'

can cause content usage information to be reported **anonymously**

- 169

without revealing content user identity, or it can reveal only certain information to certain...

Set	Items	Description
S1	1565	AU=(SHAW D? OR SHAW, D? OR KOSOFISKY, D? OR KOSOFISKY D?)
S2	2518560	TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BUYING OR ORDER? OR TRADES OR TRADE
S3	828449	SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL- () INSTRUMENT?
S4	128400	ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5	83484	ALERT? OR FLAG? OR TRIGGER?
S6	1010538	DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIE- NT? OR INVESTOR? OR PARTICIPANT?
S7	2672944	COMPUTER? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR ONLINE OR ON() LINE OR WEB? OR INTERNET? OR WWW
S8	86389	S2(5N)S3
S9	4236	S8(5N)S7
S10	158	S5(10N)OPPORTUNIT?
S11	0	S10 AND S9
S12	163	S8(20N)S5
S13	51	S12 AND (S4 OR S6)
S14	37	S13 NOT PY>2000
S15	32	RD (unique items)

? show file

File 2:INSPEC 1969-2004/Feb W3
(c) 2004 Institution of Electrical Engineers

File 35:Dissertation Abs Online 1861-2004/Jan
(c) 2004 ProQuest Info&Learning

File 65:Inside Conferences 1993-2004/Feb W4
(c) 2004 BLDSC all rts. reserv.

File 99:Wilson Appl. Sci & Tech Abs 1983-2004/Jan
(c) 2004 The HW Wilson Co.

File 233:Internet & Personal Comp. Abs. 1981-2003/Sep
(c) 2003 EBSCO Pub.

File 474:New York Times Abs 1969-2004/Feb 23
(c) 2004 The New York Times

File 475:Wall Street Journal Abs 1973-2004/Feb 23
(c) 2004 The New York Times

File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
(c) 2002 The Gale Group

File 256:SoftBase:Reviews,Companies&Prods. 82-2004/Jan
(c)2004 Info.Sources Inc

15/5/1 (Item 1 from file: 2)

DIALOG(R) File 2:INSPEC

(c) 2004 Institution of Electrical Engineers. All rts. reserv.

6051187 INSPEC Abstract Number: C9811-6160Z-017

Title: Transaction management mechanisms for active and real-time databases: a comprehensive protocol and a performance study

Author(s): Konana, P.; Ram, S.

Author Affiliation: Dept. of Manage. Sci. & Inf. Syst., Texas Univ., Austin, TX, USA

Journal: Journal of Systems and Software vol.42, no.3 p.205-25

Publisher: Elsevier,

Publication Date: Sept. 1998 Country of Publication: USA

CODEN: JSSODM ISSN: 0164-1212

SICI: 0164-1212(199809)42:3L:205:TMMA;1-H

Material Identity Number: J325-98008

U.S. Copyright Clearance Center Code: 0164-1212/98/\$19.00

Document Number: S0164-1212(98)10011-0

Language: English Document Type: Journal Paper (JP)

Treatment: Practical (P)

Abstract: Active and real-time databases (ARTDB) have a variety of applications in electronic **brokerages** in financial markets, **stock trading**, network management and manufacturing process control. Transaction processing (TP) in ARTDB is extremely complicated since transactions may **trigger** other real-time transactions to an arbitrary depth with various types of dependencies (coupling modes). Therefore, transaction processing must be cognizant of not only the time deadlines but also the types of semantic dependencies with other transactions. The conflict resolution between two transactions cannot be considered in isolation since affecting one transaction may affect every other semantically dependent transaction. Similarly, transaction scheduling needs to be compatible with the concurrency control to avoid unnecessary restarts. The authors argue that transaction pre-analysis using the pre-declaration paradigm is an efficient mechanism to integrate the various issues of transaction processing such as concurrency control, scheduling, and semantic dependencies. The pre-analysis is possible since in many applications transactions repeat from a set of transaction classes, and the conflicts can be easily determined at a logical level by partitioning relations into mutually exclusive subset (e.g., by stock-id in financial applications). They develop a pre-analysis based transaction processing mechanism called OCCWB. OCCWB is an extended optimistic concurrency control protocol with blocking that combines the benefits of both optimistic and lock based protocols. (50 Refs)

Subfile: C

Descriptors: active databases; concurrency control; protocols; real-time systems; scheduling; temporal databases; transaction processing

Identifiers: transaction management mechanisms; active databases; real-time databases; electronic **brokerages**; financial markets; stock trading; network management; manufacturing process control; transaction processing; time deadlines; semantic dependencies; conflict resolution; transaction pre-analysis; pre-declaration paradigm; concurrency control; scheduling; transaction classes; mutually exclusive subset; partitioning relations; pre-analysis based transaction processing mechanism; OCCWB; extended optimistic concurrency control protocol; blocking; lock based protocols

Class Codes: C6160Z (Other DBMS); C6130 (Data handling techniques); C6160K (Deductive databases)

Copyright 1998, IEE

15/5/2 (Item 1 from file: 35)

DIALOG(R)File 35:Dissertation Abs Online
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1056900 ORDER NO: AAD89-07605

PREDICTIVE ASPECTS OF STOCK INDEX FUTURES: A STUDY OF THE MAJOR MARKET INDEX

Author: SWINNERTON, EUGENE A.
Degree: PH.D.
Year: 1988
Corporate Source/Institution: KENT STATE UNIVERSITY (0101)
DIRECTOR: RICHARD J. CURCIO
Source: VOLUME 50/01-A OF DISSERTATION ABSTRACTS INTERNATIONAL.
PAGE 220. 189 PAGES
Descriptors: ECONOMICS, FINANCE
Descriptor Codes: 0508

Stock index arbitrage, a form of program trading, involves the simultaneous **buying** (**selling**) of **stock** index futures and the **selling** (**buying**) of the corresponding underlying **stock** index to generate returns which are near riskless. Such arbitrage activity is **triggered** by the occurrence of mispricings of the stock index futures relative to their theoretical price. The theoretical value of a stock index future is the cash index price enhanced by the interest earned at the market rate less the dividends foregone at the dividend rate on the index portfolio.

These stock index arbitrage trading activities entail massive intraday transactions involving the stock indexes and their corresponding futures. It is hypothesized that such large transactions create short-term supply and/or demand imbalances in the arbitrageable stock indexes and futures, possibly affecting price changes in these securities. This dissertation, using regression analysis, empirically tests the ability of a wide range of arbitrageable futures mispricings, both positive and negative, to predict the intraday changes of the underlying stock index and the futures. Data on the Major Market Index were employed.

The results indicate that futures mispricings are moderate predictors of intraday stock index price changes for up to 20 minutes lead time with the positive mispricings significantly outperforming the negative mispricings. The relatively weaker predictive performance of the negative mispricings implies that less undervaluation versus over-valuation arbitrage occurs and/or institutional **traders** act less in concert with each other when initiating undervaluation strategies. This phenomenon is most likely due to the up-tic rule governing short sales of stocks which impedes the achievement of simultaneity in selling stocks and buying futures for **traders** required to short sell stocks to effect the undervaluation strategy. Other results indicate that the futures mispricings are very weak predictors of subsequent intraday futures price changes. Expiration day predictive behavior was found to be significantly different from non-expiration days with regard to the prediction of cash index price changes. As for futures price changes, however, no significant difference between predictive characteristics on expiration versus non-expiration days were discovered.

15/5/3 (Item 1 from file: 474)

DIALOG(R)File 474:New York Times Abs
(c) 2004 The New York Times. All rts. reserv.

07812746 NYT Sequence Number: 912875000625

NOT EVERY INVESTMENT IS A VOTE OF CONFIDENCE

Morgenson, Gretchen
New York Times, Col. 1, Pg. 1, Sec. 3

Sunday June 25 2000
DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:

Gretchen Morgenson Market Watch column notes shares of MicroStrategy Inc rose 41 percent on news that it would get financing from an outside **investor** , but fell 20 percent after Promethean Asset Management invested \$125 million convertible preferred stock that will give it 4 percent stake in company; notes preferred **investors** ' interests are counter to those of common stockholders; preferred **investors** may be content with dividends if stock is rising, but can convert at will, diluting other shareholders' stakes, if stock falls to **trigger** level; some companies report significant short **selling** of their **stock** after such deals; graph (M)

SPECIAL FEATURES: Graph

COMPANY NAMES: Microstrategy Inc; Promethean Asset Management
DESCRIPTORS: Stocks and Bonds; Stocks and Bonds
PERSONAL NAMES: Morgenson, Gretchen

15/5/4 (Item 2 from file: 474)

DIALOG(R)File 474:New York Times Abs
(c) 2004 The New York Times. All rts. reserv.

07715975 NYT Sequence Number: 815691991006

AMERICA EXPRESS'S WEB BROKER TO SET SIGHTS ON WEALTHY CLIENTS

Reuters

New York Times, Col. 3, Pg. 19, Sec. C

Wednesday October 6 1999

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:

American Express Co says it will turn its **flagging** on-line **brokerage** business into new Web **broker** with lower commissions and free **stock trades** for wealthy **clients** later in year; new unit, American Express **Brokerage** , will charge customers \$14.95 trade for up to 3,000 shares on each order (S)

COMPANY NAMES: American Express Co; American Express **Brokerage**

DESCRIPTORS: Stocks and Bonds; Prices (Fares, Fees and Rates); **Brokers** and **Brokerage** Firms; Computers and the Internet

15/5/5 (Item 3 from file: 474)

DIALOG(R)File 474:New York Times Abs
(c) 2004 The New York Times. All rts. reserv.

05558037 NYT Sequence Number: 107380891114

DON'T BLAME PROGRAM TRADING

New York Times, Col. 1, Pg. 30, Sec. 1

Tuesday November 14 1989

DOCUMENT TYPE: Newspaper; Editorial JOURNAL CODE: NYT LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:

Editorial rejecting program **trading** as villain in **stock** -market volatility says use of computer programs to **trigger** massive **stock trades** stabilizes financial markets and benefits **investors** ; says

specific abuses can be curbed without sweeping new regulation

DESCRIPTORS: STOCKS AND BONDS; STOCK PRICES AND TRADING VOLUME; REGULATION
AND DEREGULATION OF INDUSTRY; EDITORIALS; DATA PROCESSING (COMPUTERS)

15/5/6 (Item 4 from file: 474)

DIALOG(R)File 474:New York Times Abs

(c) 2004 The New York Times. All rts. reserv.

05529027 NYT Sequence Number: 094060890423

PHILIPPINE REBELS SAY THEY KILLED US COLONEL

New York Times, Col. 1, Pg. 4, Sec. 1

Sunday April 23 1989

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

Communist rebels in Philippines say they killed American army officer, Col James N Rowe, because he was 'direct **participant** ' in Government's counterinsurgency program; special military and police unit is formed to search for Rowe's assassins, in addition to Federal Bureau of Investigation; Philippine troops near six United States military installations in country are put on maximum **alert** after attack, and United States Navy **orderes** additional **security** for officers and sailors of Blue Ridge, **flagship** of Seventh Fleet, which arrives in Manila on port call (M)

COMPANY NAMES: FEDERAL BUREAU OF INVESTIGATION (FBI)

DESCRIPTORS: CIVIL WAR AND GUERRILLA WARFARE; UNITED STATES ARMAMENT AND
DEFENSE; MILITARY BASES AND INSTALLATIONS; NAVIES; SECURITY AND WARNING
SYSTEMS; ASSASSINATIONS AND ATTEMPTED ASSASSINATIONS

PERSONAL NAMES: ROWE, JAMES N (COL)

GEOGRAPHIC NAMES: PHILIPPINES, REPUBLIC OF THE

15/5/7 (Item 5 from file: 474)

DIALOG(R)File 474:New York Times Abs

(c) 2004 The New York Times. All rts. reserv.

00851545 NYT Sequence Number: 037297781201

Dow Industrial average closes up 8.92 points at 799.03 on trading volume of 19.90 million shares. Gain was triggered by report of decline in Nov farm prices and strength in US dollar in foreign exchange dealings.

Stock trading detailed.Market profile (M).)

VARTAN, VARTANIG G

New York Times, Col. 3, Pg. 6, Sec. 4

Friday December 1 1978

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English

RECORD TYPE: Abstract

DESCRIPTORS: AGRICULTURE AND AGRICULTURAL PRODUCTS; CURRENCY; DOW JONES
STOCK AVERAGE; **INVESTOR** BEHAVIOR; PRICES; STOCK PRICES AND TRADING
VOLUME; STOCKS (CORPORATE); STOCKS AND BONDS (GENERAL)

PERSONAL NAMES: VARTAN, VARTANIG G

GEOGRAPHIC NAMES: UNITED STATES

15/5/8 (Item 6 from file: 474)

DIALOG(R)File 474:New York Times Abs

(c) 2004 The New York Times. All rts. reserv.

00014389 NYT Sequence Number: 014387691031

Leon Levy (Oppenheimer & Co) says large price readjustments that occur when inst sells block of stock are more equitable than were mkt patterns before insts became major factor because all investors are immediately alerted by drop; co places ads urging stockholders of \$18-million 2d mortgage bonds contact co)

New York Times, Col. 7, Pg. 64

Friday October 31 1969

DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: BOSTON & MAINE CORP

DESCRIPTORS: INSTITUTIONAL **INVESTORS** ; STOCKS AND BONDS

PERSONAL NAMES: LEVY, LEON

15/5/9 (Item 1 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

(c) 2004 The New York Times. All rts. reserv.

08061116 NYT Sequence Number: 000000000512

FUND TRACK

LUCCHETTI, AARON

Wall Street Journal, Col. 3, Pg. 1, Sec. C

Friday May 12 2000

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

A price war is erupting in the sedate world of index mutual funds; the newest salvo is being fired by Barclays Global **Investors**, which is preparing to unveil 28 new index funds that will **trade** on the American **Stock** Exchange; the **flagship** Barclays product, iShares S&P 500 Fund, reportedly will have an expense ratio of only 0.08% to 0.10% of assets; chart (M)

SPECIAL FEATURES: Chart

COMPANY NAMES: BARCLAYS GLOBAL **INVESTORS**

DESCRIPTORS: STOCKS AND BONDS; MUTUAL FUNDS

PERSONAL NAMES: LUCCHETTI, AARON

15/5/10 (Item 2 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

(c) 2004 The New York Times. All rts. reserv.

07944119 NYT Sequence Number: 000000970624

MONDAY'S MARKETS: BLUE-CHIPS PLUNGE ON REMARKS BY HASHIMOTO

MCGEE, SUZANNE

Wall Street Journal, Col. 3, Pg. 1, Sec. C

Tuesday June 24 1997

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

Japan's Prime Minister Ryutaro Hashimoto remarks that Japanese **investors** might begin large-scale **selling** of US Treasury **bonds** and **stocks** **triggers** the Dow Jones Industrial Average's second largest point

decline, dropping 192.25 to 7604.26; New York Stock Exchange volume is 492.7 million shares with 1,808 declines and 831 advances; chart (M)

SPECIAL FEATURES: Chart
COMPANY NAMES: NEW YORK STOCK EXCHANGE (NYSE)
DESCRIPTORS: STOCKS AND BONDS; DOW JONES STOCK AVERAGE
PERSONAL NAMES: MCGEE, SUZANNE; Hashimoto, Ryutaro (Prime Min)
GEOGRAPHIC NAMES: Japan

15/5/11 (Item 3 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs
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07931187 NYT Sequence Number: 000000970227

GAZPROM EASES RULE ON FOREIGN INVESTORS

LIESMAN, STEVE

Wall Street Journal, Col. 1, Pg. 12, Sec. A

Thursday February 27 1997

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

RAO Gazprom (Russia), in effort to bolster **flagging stock** price, will allow foreigners to **buy** coveted shares within Russia, but restrictions remain on their ability to sell shares outside Russia; graph (M)

SPECIAL FEATURES: Graph
COMPANY NAMES: Gazprom
PERSONAL NAMES: LIESMAN, STEVE
GEOGRAPHIC NAMES: RUSSIA

15/5/12 (Item 4 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs
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07910872 NYT Sequence Number: 000000960819

ABREAST OF THE MARKET: MIXED SIGNALS ON THE ECONOMY ARE SENDING INVESTORS TO SIDELINES

KANSAS, DAVE

Wall Street Journal, Col. 3, Pg. 1, Sec. C

Monday August 19 1996

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

Mixed signals on the US economic outlook may be contributing to the relatively sluggish pace of **stock trading** thus far in August; in the past several weeks, analysts have seen data that **trigger** expectations of economic strength, only to see offsetting warning signs of economic weakness; drawing (M)

SPECIAL FEATURES: Drawing
DESCRIPTORS: STOCKS AND BONDS; UNITED STATES ECONOMY
PERSONAL NAMES: KANSAS, DAVE

15/5/13 (Item 5 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs
(c) 2004 The New York Times. All rts. reserv.

07907980 NYT Sequence Number: 000000960723

FUND TRACK: MUNI BROKERS UNDER WATCH BY THE SEC

Gasparino, Charles

Wall Street Journal, Col. 6, Pg. 1, Sec. C

Tuesday July 23 1996

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

SEC is trying to determine whether small **investors** are being overcharged by municipal-bond **brokerage** firms, or '**brokers**' **brokers**'; these firms help professional **traders**, including mutual funds, to **buy** and **sell bonds**, in the process charging fees ultimately borne by the small **investor**; the probe was **triggered** by Michael Roszak, a self-styled whistle-blower who once worked as a muni-bond **broker** at J F Hartfield & Co; drawing; diagram (M)

SPECIAL FEATURES: Drawing; Diagram

COMPANY NAMES: SECURITIES AND EXCHANGE COMMISSION (SEC); Hartfield, J F, & Co

DESCRIPTORS: STOCKS AND BONDS; Mutual Funds; Government Bonds

PERSONAL NAMES: Gasparino, Charles; Roszak, Michael

15/5/14 (Item 6 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

(c) 2004 The New York Times. All rts. reserv.

07251289 NYT Sequence Number: 000000960109

SMALL STOCK FOCUS: ISSUES END MIXED IN TRADING SESSION ABBREVIATED BY BLIZZARD IN THE EAST

Wall Street Journal, Col. 5, Pg. 7, Sec. C

Tuesday January 9 1996

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

Small-firm **stocks** finish mixed in **trading** session Jan 8 1996 shortened by fierce East Coast blizzard; **traders** cite lack of volume; winners include **Flagstar**, Quickturn Design Systems and Borders Group; losers include Supercuts, Chantal Pharmaceuticals and Geerlings & Wade (M)

COMPANY NAMES: Flagstar Cos; quickturn design systems; Borders Group Inc; Supercuts Inc; Chantal Pharmaceutical Corp; geerlings & Wade

15/5/15 (Item 7 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

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07031330

TAX REPORT

Wall Street Journal, Col. 5, Pg. 1, Sec. A

Wednesday February 22 1995

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

New IRS instructions require 'wash sales' to be clearly identified; if **investors** sell securities at a loss and within 30 days **buy** the same **securities**, the **transaction** is a wash sale; the loss is not deductible, and taxpayers must **flag** it on Schedule D (S)

DESCRIPTORS: TAXATION; STOCKS AND BONDS; TAX DEDUCTIONS; INCOME TAX

15/5/16 (Item 8 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

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06509055

BROKERS TRADING US SECURITIES ALERTED TO SCAM

Wall Street Journal, Col. 2, Pg. 9F, Sec. A

Monday March 22 1993

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

SEC, in the wake of a suspected \$1 billion trading fraud, is warning **brokerage** firms to be wary of a man who is using multiple aliases and questionable corporate documents to place orders for US Treasury bonds and notes; has obtained a federal court order prohibiting Daniel O Teyibo of Rockville (Maryland) from selling any securities or making untrue statements in business transactions (M)

COMPANY NAMES: SECURITIES AND EXCHANGE COMMISSION (SEC)

DESCRIPTORS: VIOLATIONS OF SECURITIES AND COMMODITIES; GOVERNMENT BONDS

PERSONAL NAMES: TEYIBO, DANIEL O

15/5/17 (Item 9 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

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06507516

BOND PRICES FINISH MIXED IN VOLATILE SESSION; EARLY RALLY, TRIGGERED OVERSEAS, LOSES STEAM

Wall Street Journal, Col. 1, Pg. 19, Sec. C

Tuesday March 9 1993

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

Long-term securities ended with modest gains and short-term notes posted slight losses in volatile trading session; analysts say early buying frenzy was **triggered** by overseas buying, but by mid-morning **traders** began to **sell**; Treasury's benchmark 30-year **bond** gained about 1/4 point to 105 5/32 as its yield fell to 6.72% from 7.74%; Treasury's two-year notes fell to 99 27/32 from 99 31/32; long-term investment grade corporate bonds posted gains up to 1/4 point, while short-term notes lost average of about 1/8 point; some actively traded corporate bonds noted; municipal bonds gained 1/8 to 1/2 point; most European bonds gained on prospect of cut in official German interest rates; graph; tables (M)

SPECIAL FEATURES: Graph; Table

DESCRIPTORS: TREASURY BONDS; CORPORATE BONDS; GOVERNMENT BONDS; BOND PRICES AND TRADING VOLUME; INTEREST RATES

PERSONAL NAMES: LAURICELLA, THOMAS D
GEOGRAPHIC NAMES: EUROPE; GERMANY

15/5/18 (Item 10 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
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05752758

CREDIT MARKETS

Wall Street Journal, Col. 4, Pg. 1, Sec. C
Tuesday January 30 1990
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:

Nervous **investors** dumped bonds of RJR Nabisco Inc, sending prices plunging on January 29 for second day and **triggering** broad **sell** -off in junk- **bond** market; graph (M)

SPECIAL FEATURES: Graph
COMPANY NAMES: RJR NABISCO INC
DESCRIPTORS: STOCKS (CORPORATE); CORPORATE BONDS
PERSONAL NAMES: MITCHELL, CONSTANCE; HAYDEN, JONES

15/5/19 (Item 11 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
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05256559

TASK FORCE'S BRADY SAYS JAPANESE SALES OF U.S. BONDS TOUCHED OFF OCT 19 CRASH

RICKS, THOMAS E
Wall Street Journal, Col. 2, Pg. 18, Sec. 1
Friday April 22 1988
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:

Nicholas Brady, head of Presidential task force that studied Oct stock-market crash, says record plunge was **triggered** by Japanese **investors** heavy **selling** of US Government **bonds** (M)

DESCRIPTORS: GOVERNMENT BONDS; STOCKS AND BONDS; STOCK PRICES AND TRADING VOLUME
PERSONAL NAMES: RICKS, THOMAS E; BRADY, NICHOLAS F
GEOGRAPHIC NAMES: JAPAN

15/5/20 (Item 12 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
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05014907

BLACK MONDAY ENDS BOND FUNDS' BLUES

SICONOLFI, MICHAEL
Wall Street Journal, Col. 4, Pg. 17, Sec. 1
Friday November 13 1987
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:

Fixed-income mutual funds, battered for most of year, have bounced back since stock market crash but many **investors** have yet to **buy** in; market crash **triggered** vigorous **bond** market rally, especially in government issues; chart (M)

SPECIAL FEATURES: Chart

DESCRIPTORS: STOCKS AND BONDS; GOVERNMENT BONDS; STOCK PRICES AND TRADING VOLUME; INVESTMENT STRATEGIES

PERSONAL NAMES: SICONOLFI, MICHAEL

15/5/21 (Item 13 from file: 475)

DIALOG(R)File 475:Wall Street Journal Abs

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01187643 NYT Sequence Number: 011293830126

Flagship **Banks Inc** **sues Federal Reserve Board** and **Venezuelan investor**

Juan Vicente Perez Sandoval in effort to keep **Perez Sandoval** from buying more of its stock (S.)

Wall Street Journal, Col. 2, Pg. 12

Wednesday January 26 1983

DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

COMPANY NAMES: FLAGSHIP BANKS INC; FEDERAL RESERVE SYSTEM

DESCRIPTORS: SUITS AND LITIGATION; MERGERS, ACQUISITIONS AND DIVESTITURES; STOCKS (CORPORATE)

PERSONAL NAMES: PEREZ SANDOVAL, JUAN VINCENTE

15/5/22 (Item 1 from file: 583)

DIALOG(R)File 583:Gale Group Globalbase(TM)

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09366862

DBS Securities targeting 20,000 online **clients**

SINGAPORE: DBS UNVEILS ONLINE TRADING SERVICE

Business Times (XBA) 20 Sep 2000 p.6

Language: ENGLISH

Singapore's DBS Securities has introduced a new online trading service at www.dbssecurities.com. The service will provide a trading platform as well as access to market news, research reports, and other investment information for the firm's **clients**. **Clients** can **trade** Singapore-listed **stocks** online. The site will expand to include new features like initial public offerings, regional research reports and live news **alerts**. Multi-market access will also be available sometime in 2001. Customers can enjoy substantial savings on commission when they trade online as the channel is built with the capacity to scale for high transaction volumes. The **brokerage** hopes to have at least 20,000 online customers by the end of 2001. It will continue to look at new technology enablers to service its customers' needs, including new distribution channels and mobile-commerce strategies.

COMPANY: DBS SECURITIES

PRODUCT: Financial Service Information Providers (7375FN);

EVENT: General Management Services (26); Plant/Facilities/Equipment (44

);
COUNTRY: Singapore (9SIN);

15/5/23 (Item 2 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09333504
Amazon shares fall as analyst loses confidence
UK: AMAZON SUFFERS LOSS OF CONFIDENCE
Financial Times (FT) 27 Jul 2000 p.1
Language: ENGLISH

Amazon, the Internet retailer, experienced a fall in **investor** confidence as second-quarter sales came in at the lower end of expectations. Sales from established activities fell 4% between the first and second quarters although its books, video and audio activities had an operating profit of US\$ 10mn. Amazon has now lost the confidence of Lehman's e-commerce analyst Holly Becker, and Banc of America analyst Tom Courtney lowered his rating **triggering investors to sell their stock**. Forecasts for Amazon's full-year losses have risen from US\$ 1.15 to US\$ 1.27 per share. Confidence was also affected by news that Joe Galli, the most senior executive, was leaving to join VerticalNet. To compound matters the company's website also suffered a shutdown after a system failure.
(c) Financial Times 2000

COMPANY: AMAZON
EVENT: Company Reports & Accounts (83);
COUNTRY: United States (1USA);

15/5/24 (Item 3 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09306686
Stockk.com in partnership with local portal
MALAYSIA: NEWMALAYSIA.COM OFFERS STOCK QUOTES
The Star (XAT) 13 Jun 2000 In-tech p.51
Language: ENGLISH

Following the inking of accord between Stock Venture (M) Sdn Bhd and Microasia Technology Sdn Bhd, web surfers browsing at the search engine Newmalaysia.com will be able to manage their stock portfolio as well as access real-time stock quotes on the Kuala Lumpur Stock Exchange (KLSE) in Malaysia. As stipulated under the agreement, Internet **users** will be able to click on the Stockk.com icon on the Newmalaysia.com search directory to become a member of the financial portal. Other services of Stockk.com such as online investment games, instant investment and financial news updates and stock **alert** systems will also be made available. By September 2000, subscribers of **Stockk**.com will be able to **trade** over the Internet on the KLSE. Microasia Technology manages Newmalaysia.com while Stock Venture, a Malaysian unit of Asiadrasons.com Pte Ltd (Singapore), manages Stockk.com.

COMPANY: INTERNET; ASIADRAGONSCOM; KLSE; KUALA LUMPUR STOCK EXCHANGE;
MICROASIA TECHNOLOGY; STOCK VENTURE

PRODUCT: Securities & Commodities Exchanges (6230); Securities **Dealers** (6211); Debt & Equity Securities (E5640); Financial Service Information

Providers (7375FN);
EVENT: Company Formation (14);
COUNTRY: Malaysia (9MAO);

15/5/25 (Item 4 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09122883
Automated share trading is one handphone call away
SINGAPORE: FRASER DEBUTS MOBILE E-TRADING
Business Times (XBA) 21 Jun 1999 p.1
Language: ENGLISH

Singapore's Fraser Securities will introduce its mobile e-trading service on 29 June 1999, which is probably the first service around the globe that allows **investors** to trade shares online via mobile phones. **Investors** can trade from any country covered by Singapore Telecom's GSM roaming service as the new service will be offered via SingTel Mobile on GSM handphones. The service uses Short Message Service, which costs S\$ 0.05 per message whether it is sent within Singapore or abroad. The service will initially be available only on Motorola's V3688 handphone. It can automatically alert **investors**, through their handphones, on up to 10 stocks for which they have set price **triggers**. The service is implemented by IBM and MacroVision Systems. Fraser **Securities** aimed to have online **stock trading** accounting for 10% of its revenues in three years' time. This is up from the current under 1%.

COMPANY: MACROVISION SYSTEMS; IBM; MOTOROLA; SINGTEL MOBILE; SINGAPORE
TELECOM; FRASER SECURITIES

PRODUCT: Securities & Commodities Exchanges (6230); Securities **Dealers** (6211); Debt & Equity Securities (E5640);
EVENT: General Management Services (26); Plant/Facilities/Equipment (44);
COUNTRY: Singapore (9SIN);

15/5/26 (Item 5 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09110314
Stock trading going mobile
HONG KONG: NEW WORLD LAUNCHES PHONEINVEST
South China Morning Post (XKT) 27 May 1999 p.3
Language: ENGLISH

New World Mobility has teamed up with Tai Fook Securities to launch an electronic stock trading through mobile phones. The Phoneinvest only offers to Tai Fook's account holders and NW subscribers. They can **trade stocks**, check real time price quotation and set price **alert**. It will also launch an interactive voice system for the Phoneinvest in a few months and also link it with the Internet. It expects at least 10% of its 330,000 mobile phone **users** will use the new service. *

COMPANY: NEW WORLD MOBILITY

PRODUCT: Cellular Radio Services (4811CR); Telecommunications (4810);

Computers & Auxiliary Equip (3573); Communications Eqp ex Tel (3662);
EVENT: Company Formation (14);
COUNTRY: Hong Kong (9HON);

15/5/27 (Item 6 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09001753
Turmoil forces hedge fund to liquidate \$1.5bn bonds
US: ELLINGTON CAPITAL MANAGEMENT IN TROUBLE
The Times (TS) 14 Oct 1998 p. 24
Language: ENGLISH

Ellington Capital Management aims to revive **flagging** margins by **selling** mortgage-backed **bonds** worth US\$ 1.5bn, with the situation regarding this US-based hedge fund said to bear similarities with Long Term Capital Management's (LTCM) plight. Michael Vranos' Ellington Capital Management fund owes US\$ 20bn or thereabouts in bonds and has **investor** cash of US\$ 1bn. However, financial market turmoil has forced Mr Vranos to write to a number of fund managers and banks seeking bids for the various bonds.

COMPANY: LONG TERM CAPITAL MANAGEMENT; ELLINGTON CAPITAL MANAGEMENT

PRODUCT: Securities & Commodities Exchanges (6230); Securities **Dealers** (6211); Debt & Equity Securities (E5640);
EVENT: Company Financial Data (80);
COUNTRY: United States (1USA);

15/5/28 (Item 7 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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05812517
Thomson automates end-to-end settlement instructions
UK - THOMSON ADDS NEW FEATURES TO ALERT NETWORK
Financial Technology Bulletin (FTB) 1 March 1993 p1,2

Thomson Financial Services is adding to its **Alert** network new features enabling its database of standing settlement instructions to cover all parties to a **securities transaction**. The new software will permit the inputting of settlement instructions by **brokers**, with custodian banks able to access these electronically, The latter will also be able to input data so that delivery instructions can be picked up by **brokers** from custodian banks.

COMPANY: THOMSON FINANCIAL SERVICES

PRODUCT: Financial Services Software (7372FI); Computer Software (COSW);
Data Processing in Finance Sector (7374FI); Computer Services (COSV);
EVENT: NEW PRODUCT EXTENSION (33);
COUNTRY: United Kingdom (4UK); OECD Europe (415); European Economic Community Countries (419); NATO Countries (420); South East Asia Treaty Organisation (913);

15/5/29 (Item 8 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)

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03794066

ARIX AND PHITECH UNVEIL SPEECH SYSTEM

US - ARIX AND PHITECH UNVEIL SPEECH SYSTEM

Computergram International (CGI) 24 October 1990 p1

ISSN: 0268-716X

Arix (San Jose, CA), and Phitech (San Francisco, CA), one of its systems integrators, have demonstrated a real-time speech processing system built on an Arix machine which will be used by Unibridge (Indianapolis, IN), an investment information clearing house, to launch a new audiotext 900-number service supplying callers with **stock** quotes, **stock** ratings, **trading alerts** and analysts' opinions. The speech-processing technology provides customers with access to the database of financial information via digitised speech prompts and menus. Unibridge hopes to win a share of the 10m calls a day that US **investors** make to their **brokers** .*

PRODUCT: Electronic Financial Services Sys (3573EF);

EVENT: PRODUCTS, PROCESSES & SERVICES (30);

COUNTRY: United States (1USA); NATO Countries (420); South East Asia Treaty Organisation (913);

15/5/30 (Item 1 from file: 256)

DIALOG(R) File 256:SoftBase:Reviews,Companies&Prods.

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00115566

DOCUMENT TYPE: Review

PRODUCT NAMES: VRML (835315); Wavefront 3D (460311); UNIX (847151);
Iris Performer UNIX (742716)

TITLE: Virtual Reality Trading Floor Adds Dimension

AUTHOR: Vijayan, Jaikumar

SOURCE: Computerworld, v33 n13 p67(1) Mar 29, 1999

ISSN: 0010-4841

HOME PAGE: <http://www.computerworld.com>

RECORD TYPE: Review

REVIEW TYPE: Product Analysis

GRADE: Product Analysis, No Rating

VRML (Virtual Reality Modeling Language), Alias|Wavefront's Wavefront 3-D CAD software, and Silicon Graphics' Iris Performer visualization software running on SGI's UNIX boxes are the basis for a virtual 3D trading floor (3DTF) that mirrors the physical New York Stock Exchange (NYSE) trading floor. The virtual space was designed by Asymptote, an architectural firm, and is a realistic environment that allows NYSE to quickly identify, scrutinize, and account for particular business or system events. Anne Allen, senior VP of NYSE floor operations, says the virtual mock-up provides NYSE with tools for synthesizing large quantities of data and showing it in a way that allows faster more effective decision-making. The virtual floor is a 'hub monitoring the myriad operations at one of the world's busiest exchanges,' and is a valuable decision-support core for the NYSE's business and technical staff. For example, over 50 activities and events relevant to particular stocks are monitored on the 3DTF. If any event passes a preset threshold, automated alarms **alert** trading floor managers, who can quickly drill down to the **trading** area or particular **stock** to assess the changes. 3D images and correlation software also allow

users to expeditiously compare events and actions on almost 4,000 stocks traded daily on the NYSE.

COMPANY NAME: Vendor Independent (999999); Alias Systems (483559);
Silicon Graphics Inc (435201)
SPECIAL FEATURE: Output Samples
DESCRIPTORS: Models; Silicon Graphics; Stock Market; UNIX; VRML
REVISION DATE: 20031125

15/5/31 (Item 2 from file: 256)
DIALOG(R)File 256:SoftBase:Reviews,Companies&Prods.
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00109259 DOCUMENT TYPE: Review

PRODUCT NAMES: Web Agent (702684)

TITLE: Tech Support Centers to Merge Web With Voice
AUTHOR: Workman, Will
SOURCE: Computer Shopper, v18 n5 p89(2) May 1998
ISSN: 0886-0556
HOMEPAGE: <http://www.computershopper.com>

RECORD TYPE: Review
REVIEW TYPE: Product Analysis
GRADE: Product Analysis, No Rating

Teleweb interaction, such as that provided by Aspect's Web Agent, is designed to keep customers from vanishing when they hit a problem when interacting with an e-commerce Web site. Internet storefronts have the advantage of reducing calls to a company's telephone order department by making purchases possible online. However, sometimes the **customer** has a problem in filling out a form, making a **stock trade**, choosing between models, or some other decision-making interaction. Then, they can click on a teleweb icon. This **alerts** the company's call center and within moments, a **customer** service representative can phone to offer the **customer** assistance. A Java applet like Web Agent lets the representative's PC interact with the customers to do things like swap HTML pages or Help files. This does require two phone lines, but vendors are working on single-line voice over data implementations. Trust is another thing that teleweb can help establish with a **client**. Industries that are most ready to use this technology include financial services, computer sales, travel, and health-care firms. The term teleweb was coined by Forrester Research in early 1997. The technology is intended to personalize the Web. Early efforts by AT&T and MCI have been very primitive, and teleweb will only be effective if companies can offer adequate telephone support to back it up. It also poses the problem of privacy that companies will need to address to keep customers.

COMPANY NAME: Aspect Communications (531201)
DESCRIPTORS: Internet Marketing; Internet Utilities; Network
Administration; Network Software
REVISION DATE: 20020630

15/5/32 (Item 3 from file: 256)
DIALOG(R)File 256:SoftBase:Reviews,Companies&Prods.
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00107877

DOCUMENT TYPE: Review

PRODUCT NAMES: SchwabLinkWeb (705047)

TITLE: Trading Push: Schwab's latest Web application pushes real-time...

AUTHOR: Fryer, Bronwyn

SOURCE: Information Week, v677 p97(3) Apr 13, 1998

ISSN: 8750-6874

HOME PAGE: <http://www.informationweek.com>

RECORD TYPE: Review

REVIEW TYPE: Product Analysis

GRADE: Product Analysis, No Rating

Charles Schwab now pushes real-time trading information to **users** at institutional investment firms, instead of requiring them to pull the information from scattered servers. The approach saves the **investors** a great deal of time and makes it easier for them to do business. This is especially important in the stock market, where a stock quote can change within seconds. The new SchwabLinkWeb service, now in its first phase of rollout to institutional **investors**, goes beyond merely putting a GUI on a database. It brings time-sensitive data to the institutional **investors** who need it most. The application simultaneously integrates investment data from multiple hosts into a single presentation. The goal of SchwabLinkWeb is to connect these institutional **investors** seamlessly to Schwab's back-end systems. SchwabLinkWeb is being rolled out to 5,000 institutional investment firms which manage a total of \$100 billion in assets. The application will eventually allow the managers to view the same real-time transactional data as Schwab's own institutional **traders**. Schwab is currently testing a feature that will let managers download daily account information files, and managers will also be able to access a fee tracking feature to see what fees they are earning. Ultimately, SchwabLinkWeb will replace the Windows-based SchwabLink system that runs over a costly private line.

COMPANY NAME: Charles Schwab & Co Inc (394955)

SPECIAL FEATURE: Charts

DESCRIPTORS: **Alerts**; Information Retrieval; Internet Utilities;
Investment Analysis; News Services; OLTP; **Order** Fulfillment; **Stock**
Market

REVISION DATE: 20020730